Before Starting the CoC Application

The CoC Consolidated Application is made up of two parts: the CoC Application and the CoC Priority Listing, with all of the CoC’s project applications either approved and ranked, or rejected. The Collaborative Applicant is responsible for submitting both the CoC Application and the CoC Priority Listing in order for the CoC Consolidated Application to be considered complete.

The Collaborative Applicant is responsible for:

1. Reviewing the FY 2017 CoC Program Competition NOFA in its entirety for specific application and program requirements.

2. Ensuring all questions are answered completely.

3. Reviewing the FY 2017 CoC Consolidated Application Detailed Instructions, which gives additional information for each question.

4. Ensuring all imported responses in the application are fully reviewed and updated as needed.

5. The Collaborative Applicant must review and utilize responses provided by project applicants in their Project Applications.

6. Some questions require the Collaborative Applicant to attach documentation to receive credit for the question. This will be identified in the question.

- Note: For some questions, HUD has provided documents to assist Collaborative Applicants in filling out responses. These are noted in the application.
- All questions marked with an asterisk (*) are mandatory and must be completed in order to submit the CoC Application.

For CoC Application Detailed Instructions click here.
1A. Continuum of Care (CoC) Identification

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1A-1. CoC Name and Number: CA-500 - San Jose, Santa Clara City & County CoC

1A-2. Collaborative Applicant Name: County of Santa Clara by and through Office of Supportive Housing

1A-3. CoC Designation: CA

1A-4. HMIS Lead: County of Santa Clara by and through Office of Sup
1B. Continuum of Care (CoC) Engagement

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1B-1. From the list below, select those organization(s) and/or person(s) that participate in CoC meetings. Using the drop-down boxes, indicate if the organization(s) and/or person(s): (1) participate in CoC meetings; and (2) vote, including selection of CoC Board members. Responses should be for the period from 5/1/16 to 4/30/17.

<table>
<thead>
<tr>
<th>Organization/Person Categories</th>
<th>Participates in CoC Meetings</th>
<th>Votes, including electing CoC Board Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Government Staff/Officials</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>CDBG/HOME/ESG Entitlement Jurisdiction</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Law Enforcement</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Local Jail(s)</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Hospital(s)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>EMT/Crisis Response Team(s)</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Mental Health Service Organizations</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Substance Abuse Service Organizations</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Affordable Housing Developer(s)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Disability Service Organizations</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Disability Advocates</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Public Housing Authorities</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>CoC Funded Youth Homeless Organizations</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Non-CoC Funded Youth Homeless Organizations</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Youth Advocates</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>School Administrators/Homeless Liaisons</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>CoC Funded Victim Service Providers</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Non-CoC Funded Victim Service Providers</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Domestic Violence Advocates</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Street Outreach Team(s)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Lesbian, Gay, Bisexual, Transgender (LGBT) Advocates</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>LGBT Service Organizations</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Agencies that serve survivors of human trafficking</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Other homeless subpopulation advocates</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Homeless or Formerly Homeless Persons</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Other:(limit 50 characters)
Applicant must select Yes, No or Not Applicable for all of the listed organization/person categories in 1B-1.

1B-1a. Describe the specific strategy(s) the CoC uses to solicit and consider opinions from organizations and/or persons that have an interest in preventing or ending homelessness.
(limit 1000 characters)

CoC SOLICITS & CONSIDERS OPINIONS from diverse stkhlrs at 30+ public CoC mtgs widely advertised via CoC & Svc Provider listservs (558 & 417 members), w minutes on CoC website, incl NOFA, CES, Perf Mgmt, HMIS Admin wkgrps; Gen Membership; & Wkshops (Equi Access, HF, Benefits, LL Engage.). CoC partners across systems (incl corrections, healthcare, DV, foster, edu, philinthropy, faith orgs, VA & busnss) on CES, data sharing, YHDP app, youth syst. planning, Pay for Success, Vets campaign, discharge plans, Jail Diversion init., svc co-location, LL Engag. initiatives. CoC Board incl. Housing Auth, City of San Jose, County, Venture Cap., phil., providers, indiv. w/ exp. of HLness. COC USED OPINIONS shared at pub. CES wkgrps to inform CES design. YWCA (CoC-funded VSP) recommended at CES wkgrp that CoC rep attend local DV providers mtg to get input. Input resulted in confidential DV list w/in CES. On rec. from providers at CES wkgrp, CoC formed VI-SPDAT Subcom. to eval. VI-SPDAT & imprv. process.

1B-2. Describe the CoC’s open invitation process for soliciting new members, including any special outreach.
(limit 1000 characters)

SOLICIT NEW MEMBERS at monthly public mtgs (NOFA, CES, Perf Mgmt, HMIS Admin wkgrps; Gen Membership; trainings) & through public mtg invite emails to CoC & SPN listservs (558 & 417 members, 35 & 46 new members past year). Publicize work of CoC w/ annual Community Plan implementation reports posted on partner websites & shared w/ news media. CoC uses ongoing CES & HMIS outreach, annual CoC funding opp. announcements to recruit CoC participation by new partners. CoC drafted contract addendum for use by City of San Jose, Santa Clara County, other funders: requires local grantees join HMIS & CES, participate in CoC mtgs. OUTREACH TO HL/FORMERLY HL includes 1) formation of the Youth Housing & Homelessness Advisory Board as a formal CoC committee w/ req. HL/formerly HL members; 2) CoC Board and Rev. & Rank Panel designated seats for HL/formerly HL; 3) Consumer focus grps (CES & YHDP app.) informed of CoC activities & listservs; 4) recruited CoC client as panelist for Hsg First provider wkshp.

1B-3. Describe how the CoC notified the public that it will accept and consider proposals from organizations that have not previously received CoC Program funding in the FY 2017 CoC Program Competition, even if the CoC is not applying for new projects in FY 2017. The response must
include the date(s) the CoC made publicly knowing they were open to proposals. 
(limit 1000 characters)

SOLICIT NEW APPS: CoC funding oppny is open to all & widely advertised to agencies across SCC w NOFA announcement & TA Workshop invite email (7/18) to CoC & Svc Provider Network Listservs (558 & 417 members) & TA Wkshp invite at public NOFA Comm mtg (7/27). All TA Wkshp INVITES WELCOMED NEW AGENCIES. Provided app materials & submission instructions at 2-hr public TA Wkshp (8/1); email to CoC, SPN, TA Wkshp attendees (8/2); & on CoC website. Ded. wkshp time for new applicants & on-call TA to help agencies w HUD reqs & app process. 4 non-CoC-funded agencies attended TA Wkshp. SELECTION PROCESS: scored & ranked based on extent new app will contribute to SYSTEM PERF: HMIS/CES particip, Pop Served, Effective Prog Design (intensive c/m, evid-based practices), Projected Outcomes (housing stability, income/benefits), Housing First P&P; Agency Capacity (ability to comply w HEARTH, financial mgmt). NO point bonus for exper. w CoC funding/renewal status. RESULT 4 of 5 new apps ranked w renewals.
1C. Continuum of Care (CoC) Coordination

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1C-1. Using the chart below, identify the Federal, State, Local, Private and Other organizations that serve homeless individuals, families, unaccompanied youth, persons who are fleeing domestic violence, or those at risk of homelessness that are included in the CoCs coordination; planning and operation of projects.
Only select "Not Applicable" if the funding source(s) do not exist in the CoC’s geographic area.

<table>
<thead>
<tr>
<th>Entities or Organizations</th>
<th>Coordinates with Planning and Operation of Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Opportunities for Persons with AIDS (HOPWA)</td>
<td>Yes</td>
</tr>
<tr>
<td>Temporary Assistance for Needy Families (TANF)</td>
<td>Yes</td>
</tr>
<tr>
<td>Runaway and Homeless Youth (RHY)</td>
<td>Yes</td>
</tr>
<tr>
<td>Head Start Program</td>
<td>No</td>
</tr>
<tr>
<td>Housing and service programs funded through DOJ resources</td>
<td>Yes</td>
</tr>
<tr>
<td>Housing and service programs funded through HHS resources</td>
<td>Yes</td>
</tr>
<tr>
<td>Housing and service programs funded through other Federal resources</td>
<td>Yes</td>
</tr>
<tr>
<td>Housing and service programs funded through state government resources</td>
<td>Yes</td>
</tr>
<tr>
<td>Housing and service programs funded through local government resources</td>
<td>Yes</td>
</tr>
<tr>
<td>Housing and service programs funded through private entities, including foundations</td>
<td>Yes</td>
</tr>
<tr>
<td>Other:(limit 50 characters)</td>
<td></td>
</tr>
</tbody>
</table>

1C-2. Describe how the CoC actively consults with Emergency Solutions Grant (ESG) recipient’s in the planning and allocation of ESG funds. Include in the response: (1) the interactions that occur between the CoC and the ESG Recipients in the planning and allocation of funds; (2) the CoCs participation in the local Consolidated Plan jurisdiction(s) process by providing Point-in-Time (PIT) and Housing Inventory Count (HIC) data to the Consolidated Plan jurisdictions; and (3) how the CoC ensures local homelessness information is clearly communicated and addressed in Consolidated Plan updates.
(Limit 1000 characters)

ESG PLANNING: 2 ESG recip: City of San Jose(CSJ) & CA Hsg Dept(HCD). CSJ staff attend CoC Perf Mgmt Wksp to ID local metrics & monitor CoC/ESG perf; CSJ REQS CoC PERF MEASURES IN ESG CONTRACTS. CoC/ESG
P&Ps incl monitoring ESG subs w HMIS data to eval perf & rec. TA/monitoring by Collab Applcnt(OSH). CoC STAFF SITS ON ESG FUNDING PANEL. HCD subcontracts to OSH; OSH makes all funding decisions, tracks perf w/ CoC Metrics. OSH reports PIT & HMIS data to HCD & attended HCD calls re ESG restructure. DATA:CoC gave HIC, PIT, & SPM data to all 9 ConPlan(CP) juris (CSJ, County, Cupertino, Gilroy, Milpitas, Mt View, Palo Alto, Santa Clara, Sunnyvale). All CP juris (w/ CoC) coord PIT & use data to inform local strat. CP UPDATES:CoC & 7 CPs worked w consultant to update CPs, fall 2015; OSH provided all CoC info for 9 CPs & Annual Plans, incl collab w/ County on ann. CP impl plan. OSH attends QTRLY mtgs w ALL 9 CP juris to share info, plan, & eval perf, plus wkly calls re hsg pipeline & devlpmnt

1C-3. CoCs must demonstrate the local efforts to address the unique needs of persons, and their families, fleeing domestic violence that includes access to housing and services that prioritizes safety and confidentiality of program participants. (limit 1000 characters)

HOUSING (incl. CoC, ESG, DOJ funded): 191 PSH, 532 RRH beds meet diverse needs, incl. phys & mental health svcs, mainstream bens, educ. & empl. supports, child care. DV beds connected to CES w/ secure & anon DV queue. VICTIM-CENTERED: DV & hmless system providers use client-centered, Housing First, & trauma-Informed approaches w vol. case mgmt, incl safety plans & risk assessment; optional TRO support. Hsg staff trained in Hsg First, case mgmt. evid-based practices incl. Trauma-Informed Care, Relational-Cultural theory. CoC/ESG P&P incl privacy protocols for CES, DV providers, & non-DV providers w DV clients. CoC-funded hsg for DV uses VSP as case mgmt./service provider & partners in program design. CLIENT CHOICE: Anonymous CES DV queue ensures privacy & equal access to DV & non-DV resources. CES matchmakers contact DV org who handles referrals to maintain confidentiality. Client can refuse placement unlimited times to receive alt. referrals or return to queue at same spot.

1C-3a. CoCs must describe the following: (1) how regular training is provided to CoC providers and operators of coordinated entry processes that addresses best practices in serving survivors of domestic violence; (2) how the CoC uses statistics and other available data about domestic violence, including aggregate data from comparable databases, as appropriate, to assess the scope of community needs related to domestic violence and homelessness; and (3) the CoC safety and planning protocols and how they are included in the coordinated assessment. (limit 1,000 characters)

TRAINING: 9/20/17 CoC-wide VAWA training (to repeat ANNUALLY). Collab Applcnt currently hiring CES training coord. & partnering w/ DV Consortium to design monthly CES access pt trainings on DV/trauma response best practices & safety protocol (begin 3/2018). DATA: CoC tracks high occup. rates across DV ES, TH, PSH, & RRH & seeks to expand where utilization is at capacity. In 2017, CoC provided PIT data on DV & trafficking to County Office on Women’s Policy for study of survivor hsg needs. CoC to use report to guide planning for HL survivors & ppl fleeing. YWCA (VSP & CoC member) analyzed 200+ client surveys in FY14-15 Strat Plan process to ID needs; RESULT: applied for & run
2 CoC RRH grants, 1 subgrant. CES DV QUEUE: Populated by VSPs w/ unique client ID, assessment score, HH size, & VSP agency contact. CES matchmakers check central & DV queue; refer highest priority. DV referrals thru the VSP agency for confid. CES P&Ps req. training for all CES access pt staff on TIC & safety planning.

1C-4. Using the chart provided, for each of the Public Housing Agency’s (PHA) in the CoC’s geographic area: (1) identify the percentage of new admissions to the Public Housing or Housing Choice Voucher (HCV) Programs in the PHA’s that were homeless at the time of admission; and (2) indicate whether the PHA has a homeless admission preference in its Public Housing and/or HCV program.

Attachment Required: If the CoC selected, "Yes--Public Housing," "Yes--HCV," or "Yes--Both," attach an excerpt from the PHA(s) written policies or a letter from the PHA(s) that addresses homeless preference.

<table>
<thead>
<tr>
<th>Public Housing Agency Name</th>
<th>% New Admissions into Public Housing and Housing Choice Voucher Program during FY 2016 who were homeless at entry</th>
<th>PHA has General or Limited Homeless Preference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Authority of the County of Santa Clara</td>
<td>79.00%</td>
<td>Yes-Both</td>
</tr>
<tr>
<td>Housing Authority of the City of San Jose</td>
<td>9.00%</td>
<td>Yes-Both</td>
</tr>
</tbody>
</table>

If you select "Yes--Public Housing," "Yes--HCV," or "Yes--Both" for "PHA has general or limited homeless preference," you must attach documentation of the preference from the PHA in order to receive credit.

1C-4a. For each PHA where there is not a homeless admission preference in their written policies, identify the steps the CoC has taken to encourage the PHA to adopt such a policy. (limit 1000 characters)

N/A

1C-5. Describe the actions the CoC has taken to: (1) address the needs of Lesbian, Gay, Bisexual, Transgender (LGBT) individuals and their families experiencing homelessness, (2) conduct regular CoC-wide training with providers on how to effectively implement the Equal Access to Housing in HUD Programs Regardless of Sexual Orientation or Gender Identity, including Gender Identity Equal Access to Housing, Final Rule; and (3) implementation of an anti-discrimination policy. (limit 1000 characters)

SERVING LGBTQ PERSONS: CoC programs ensure equ access & cult. competent hsg & svcs for LGBTQ clients. BWC (TAY hl provider) has LGBTQ-specific outreach team & LGBTQ Drop-In w on-site health svcs, service
connections, group activities & CES access point. Collab Applcnt has partnered w County Office of LGBTQ Affairs to ID LGBTQ ES & svcs best practices & dev. new ES program & recs for LGBTQ senior hsg options. TRAINING ON EQU ACCESS FINAL RULES (EAFR) & Notices/LGBTQ Cult. Comp. offered 6/15/17 (3 hrs), open to all hl providers in CoC geo area w invite to SPN & CoC listservs (to repeat ANNUALLY). In addition to Equ Access reqs, LGBTQ Aff & LGBTQ Wellness Prog co-trained on best practices for LGBTQ pop. CoC’s Quality Assurance Standards (QAS) updated in 9/2016 include ANTI-DISCRIM POLICY covering sexual orientat’n & gender id incl. all reqs of EAFR; QAS require written EAFR-compliant anti-harasmt & eq. access progr policies. Enforced w training, TA, monitoring, & CoC grievance policy.

1C-6. Criminalization: Select the specific strategies implemented by the CoC to prevent the criminalization of homelessness in the CoC’s geographic area. Select all that apply.

| Engaged/educated local policymakers: | X |
| Engaged/educated law enforcement: | X |
| Engaged/educated local business leaders | X |
| Implemented communitywide plans: | X |
| No strategies have been implemented | |
| Other:(limit 50 characters) | |

When "No Strategies have been implemented" is selected no other checkbox may be selected.
1D. Continuum of Care (CoC) Discharge Planning

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1D-1. Discharge Planning-State and Local: Select from the list provided, the systems of care the CoC coordinates with and assists in state and local discharge planning efforts to ensure those who are discharged from that system of care are not released directly to the streets, emergency shelters, or other homeless assistance programs. Check all that apply.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Foster Care:</td>
<td>X</td>
</tr>
<tr>
<td>Health Care:</td>
<td>X</td>
</tr>
<tr>
<td>Mental Health Care:</td>
<td></td>
</tr>
<tr>
<td>Correctional Facilities:</td>
<td>X</td>
</tr>
<tr>
<td>None:</td>
<td></td>
</tr>
</tbody>
</table>

1D-1a. If the applicant did not check all the boxes in 1D-1, provide: (1) an explanation of the reason(s) the CoC does not have a discharge policy in place for the system of care; and (2) provide the actions the CoC is taking or plans to take to coordinate with or assist the State and local discharge planning efforts to ensure persons are not discharged to the street, emergency shelters, or other homeless assistance programs. (limit 1000 characters)

N/A

1D-2. Discharge Planning: Select the system(s) of care within the CoC’s geographic area the CoC actively coordinates with to ensure persons who have resided in any of the institutions listed below longer than 90 days are not discharged directly to the streets, emergency shelters, or other homeless assistance programs. Check all that apply.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Foster Care:</td>
<td>X</td>
</tr>
<tr>
<td>Health Care:</td>
<td>X</td>
</tr>
</tbody>
</table>

COC_REG_2017_149368
<table>
<thead>
<tr>
<th>Service Type</th>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mental Health Care</td>
<td>X</td>
</tr>
<tr>
<td>Correctional Facilities</td>
<td>X</td>
</tr>
<tr>
<td>None</td>
<td></td>
</tr>
</tbody>
</table>
1E. Continuum of Care (CoC) Project Review, Ranking, and Selection

Instructions
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1E-1. Using the drop-down menu, select the appropriate response(s) that demonstrate the process the CoC used to rank and select project applications in the FY 2017 CoC Program Competition which included (1) the use of objective criteria; (2) at least one factor related to achieving positive housing outcomes; and (3) included a specific method for evaluating projects submitted by victim service providers.

Attachment Required: Public posting of documentation that supports the process the CoC used to rank and select project application.

| Used Objective Criteria for Review, Rating, Ranking and Section | Yes |
| Included at least one factor related to achieving positive housing outcomes | Yes |
| Included a specific method for evaluating projects submitted by victim service providers | Yes |

1E-2. Severity of Needs and Vulnerabilities
CoCs must provide the extent the CoC considered the severity of needs and vulnerabilities experienced by program participants in their project ranking and selection process. Describe: (1) the specific vulnerabilities the CoC considered; and (2) how the CoC takes these vulnerabilities into account during the ranking and selection process. (See the CoC Application Detailed Instructions for examples of severity of needs and vulnerabilities.)

(limit 1000 characters)
Projects receive add'l points in scoring for: PSH projects (disability) (10pts), dedicating beds to CH (renewal 5pts), Housing First P&Ps (no barriers for criminal history, income, DV/assault, substance use) (new 10pts; renewal 15pts), serving Priority Pop (for youth, DV, families, vets) (renewal 2pts), & prioritizing highest need in prog design (new 5pts). R&R Panel receives Eval Report during scoring w info on each project’s client demographics, incl number of clients w/ mental illness, substance use, HIV/AIDS, chronic conditions, disabilities, mult. conditions, hist. of DV, & income. As part of app, projects may give narrative & in-person interview explanation of low perf outcomes, incl serving an esp high-needs pop. R&R PANEL IS INSTRUCTED THAT THEY MAY RAISE SCORES BASED ON SEVERITY OF NEEDS & VULNERABILITIES. Particip in CES is a threshold req for new & renewal projects, req’ing all projects take most vulnerable, longest time HL based on
VISPDAT w high utilization as tie-break.

1E-3. Using the following checklist, select: (1) how the CoC made publicly available to potential project applicants an objective ranking and selection process that was used for all project (new and renewal) at least 2 days before the application submission deadline; and (2) all parts of the CoC Consolidated Application, the CoC Application attachments, Priority Listing that includes the reallocation forms and Project Listings that show all project applications submitted to the CoC were either accepted and ranked, or rejected and were made publicly available to project applicants, community members and key stakeholders.

Attachment Required: Documentation demonstrating the objective ranking and selections process and the final version of the completed CoC Consolidated Application, including the CoC Application with attachments, Priority Listing with reallocation forms and all project applications that were accepted and ranked, or rejected (new and renewal) was made publicly available. Attachments must clearly show the date the documents were publicly posted.

**Public Posting**

<table>
<thead>
<tr>
<th>Public Posting</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>CoC or other Website</td>
<td>X</td>
</tr>
<tr>
<td>Email</td>
<td>X</td>
</tr>
<tr>
<td>Mail</td>
<td></td>
</tr>
<tr>
<td>Advertising in Local Newspaper(s)</td>
<td></td>
</tr>
<tr>
<td>Advertising on Radio or Television</td>
<td></td>
</tr>
<tr>
<td>Social Media (Twitter, Facebook, etc.)</td>
<td></td>
</tr>
</tbody>
</table>

1E-4. Reallocation: Applicants must demonstrate the ability to reallocate lower performing projects to create new, higher performing projects. CoC’s may choose from one of the following two options below to answer this question. You do not need to provide an answer for both.

Option 1: The CoC actively encourages new and existing providers to apply for new projects through reallocation.
Attachment Required - Option 1: Documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.

Option 2: The CoC has cumulatively reallocated at least 20 percent of the CoC’s ARD between FY 2013 and FY 2017 CoC Program Competitions.
No Attachment Required - HUD will calculate the cumulative amount based on the CoCs reallocation forms submitted with each fiscal years Priority Listing.

**Reallocation:** Option 2
No Attachment Required - HUD will calculate the cumulative amount based on the CoCs reallocation forms submitted with each fiscal years Priority Listing.

1E-5. If the CoC rejected or reduced project application(s), enter the date the CoC and Collaborative Applicant notified project applicants their project application(s) were being rejected or reduced in writing outside of e-snaps.

Attachment Required: Copies of the written notification to project applicant(s) that their project application(s) were rejected. Where a project application is being rejected or reduced, the CoC must indicate the reason(s) for the rejection or reduction.

1E-5a. Provide the date the CoC notified applicant(s) their application(s) were accepted and ranked on the Priority Listing, in writing, outside of e-snaps.

Attachment Required: Copies of the written notification to project applicant(s) their project application(s) were accepted and ranked on the Priority listing.
2A. Homeless Management Information System (HMIS) Implementation

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

2A-1. Does the CoC have in place a Governance Charter or other written documentation (e.g., MOU/MOA) that outlines the roles and responsibilities of the CoC and HMIS Lead?

Yes

Attachment Required: If “Yes” is selected, a copy of the sections of the Governance Charter, or MOU/MOA addressing the roles and responsibilities of the CoC and HMIS Lead.

2A-1a. Provide the page number(s) where the roles and responsibilities of the CoC and HMIS Lead can be found in the attached document(s) referenced in 2A-1. In addition, indicate if the page number applies to the Governance Charter or MOU/MOA.

1-2, 8, 12-13, 16-33


Yes

2A-3. What is the name of the HMIS software vendor?

Bitfocus, Inc

2A-4. Using the drop-down boxes, select the HMIS implementation Coverage area.

Single CoC

2A-5. Per the 2017 HIC use the following chart to indicate the number of beds in the 2017 HIC and in HMIS for each project type within the CoC. If a particular project type does not exist in the CoC then enter "0" for all cells.
in that project type.

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Total Beds in 2017 HIC</th>
<th>Total Beds in HIC Dedicated for DV</th>
<th>Total Beds in HMIS</th>
<th>HMIS Bed Coverage Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency Shelter (ESG) beds</td>
<td>654</td>
<td>59</td>
<td>595</td>
<td>100.00%</td>
</tr>
<tr>
<td>Safe Haven (SH) beds</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Transitional Housing (TH) beds</td>
<td>998</td>
<td>0</td>
<td>998</td>
<td>100.00%</td>
</tr>
<tr>
<td>Rapid Re-Housing (RRH) beds</td>
<td>532</td>
<td>12</td>
<td>520</td>
<td>100.00%</td>
</tr>
<tr>
<td>Permanent Supportive Housing (PSH) beds</td>
<td>4,275</td>
<td>191</td>
<td>2,698</td>
<td>66.06%</td>
</tr>
<tr>
<td>Other Permanent Housing (OPH) beds</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

2A-5a. To receive partial credit, if the bed coverage rate is below 85 percent for any of the project types, the CoC must provide clear steps on how it intends to increase this percentage for each project type over the next 12 months.
(limit 1000 characters)

The CoC has achieved 100% HMIS coverage for ES, TH, & RRH beds (all non-PSH). PLAN TO INCREASE PSH COVERAGE: 1) All new PSH funded by the County or the City of San Jose are required to use HMIS. 2) Greatest challenge to full coverage is HUD VASH & VA lack of capacity for data entry. Collab. Applicant is currently hiring 2 data entry specialists to handle data entry for HUD-VASH & developing plan in partnership w/ VA & Housing Authority to get timely data. CoC expects HUD-VASH to be in HMIS w/in the next 12 months. VA case mgrs. for locally-funded subsidy programs & other VA programs (SSVF, GPD) already successfully using HMIS.

2A-6. Annual Housing Assessment Report (AHAR) Submission: How many Annual Housing Assessment Report (AHAR) tables were accepted and used in the 2016 AHAR? 12

2A-7. Enter the date the CoC submitted the 2017 Housing Inventory Count (HIC) data into the Homelessness Data Exchange (HDX). (mm/dd/yyyy) 05/01/2017
2B. Continuum of Care (CoC) Point-in-Time Count

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

2B-1. Indicate the date of the CoC’s 2017 PIT count (mm/dd/yyyy). If the PIT count was conducted outside the last 10 days of January 2017, HUD will verify the CoC received a HUD-approved exception. 01/24/2017

2B-2. Enter the date the CoC submitted the PIT count data in HDX. (mm/dd/yyyy) 05/01/2017
2C. Continuum of Care (CoC) Point-in-Time (PIT) Count: Methodologies

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

2C-1. Describe any change in the CoC’s sheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017. Specifically, how those changes impacted the CoCs sheltered PIT count results. (limit 1000 characters)

Santa Clara County's sheltered count increased in 2017. More specifically, the emergency shelter count increased significantly, while the transitional housing count declined. There were no significant changes in methodology or data quality. The major factors in the change in sheltered count are: 1) The CoC increased its ES capacity to address the high unsheltered population, including opening a new family winter shelter & adding inclement weather shelters, which are opened on nights of cold and/or rainy weather. The inclement weather shelters were open on the night of the PIT count, which contributed to the higher count this year. 2) The CoC has increasingly focused on shifting resources away from TH and into RRH. Some programs that were TH during the last count have been reclassified to RRH. Additionally, some TH programs have closed & RRH has increased as HUD & local funding has shifted toward permanent housing.

2C-2. Did your CoC change its provider coverage in the 2017 sheltered count?

Yes

2C-2a. If “Yes” was selected in 2C-2, enter the change in provider coverage in the 2017 sheltered PIT count, including the number of beds added or removed due to the change.

| Beds Added: | 621 |
| Beds Removed: | 552 |
| Total: | 69 |

2C-3. Did your CoC add or remove emergency shelter, transitional housing, or Safe-Haven inventory because of funding specific to a Presidentially declared disaster resulting in a change to the CoC's 2017 sheltered PIT count?

No
2C-3a. If "Yes" was selected in 2C-3, enter the number of beds that were added or removed in 2017 because of a Presidentially declared disaster.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Beds Added:</td>
<td>0</td>
</tr>
<tr>
<td>Beds Removed:</td>
<td>0</td>
</tr>
<tr>
<td>Total:</td>
<td>0</td>
</tr>
</tbody>
</table>

2C-4. Did the CoC change its unsheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017?

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

CoCs that did not conduct an unsheltered count in 2016 or did not report unsheltered PIT count data to HUD in 2016 should compare their efforts in 2017 to their efforts in 2015.

2C-4a. Describe any change in the CoC’s unsheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017. Specify how those changes impacted the CoC’s unsheltered PIT count results. See Detailed Instructions for more information. (limit 1000 characters)

The CoC unsheltered count increased by 18% from 2015 to 2017. This change was driven by a significant increase in unsheltered TAY homelessness, which more than doubled. The CoC conducted its most thorough & comprehensive PIT count to date, incl. increased participation from school districts & TAY providers. In prior counts no more than one school district participated. In 2017 the CoC & County Office of Educ collaborated to secure participation by approx. 10 districts. A local TAY provider also partnered w/ the CoC to expand particip. in the special youth count & send teams to hot spots across the entire CoC. In prior years the youth count focused primarily on downtown San Jose. Another primary factor in the increase in homelessness is the extremely expensive & competitive hsg market in the County. Avg rents vastly exceed affordability for lower income households, including TAY w/ limited educ & job experience. Vacancy rates remain extremely low, prompting competition for open units.

2C-5. Did the CoC implement specific measures to identify youth in their PIT count?

<p>| |</p>
<table>
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<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

2C-5a. If "Yes" was selected in 2C-5, describe the specific measures the CoC; (1) took to identify homeless youth in the PIT count; (2) during the planning process, how stakeholders that serve homeless youth were engaged; (3) how homeless youth were engaged/involved; and (4) how the CoC worked with stakeholders to select locations where homeless youth are most likely to be identified. (limit 1000 characters)

THE COC IDENTIFIED YOUTH w/ a TARGETED YOUTH COUNT conducted
btwn 3pm & 8pm on the day of the PIT count. The CoC convened YOUTH FOCUS GROUPS & met w/ youth providers to identify youth hotspots during planning. Based on Focus Group & youth provider input, the planning grp determined that HL youth would be significantly more likely to be counted during daytime. The CoC collaborated w/ the County Office of Educ. to expand PIT participation by school districts & w/ BWC (largest CoC provider for TAY) to expand the reach of the youth count. The youth count was CONDUCTED BY FIVE TEAMS OF HL YOUTH, each including at least 2-4 youth and 2 youth provider outreach staff. Youth acted as guides/navigators & enumerators & were paid for their service.

2C-6. Describe any actions the CoC implemented in its 2017 PIT count to better count individuals and families experiencing chronic homelessness, families with children, and Veterans experiencing homelessness. (limit 1000 characters)

During the planning process for the 2017 PIT count, the Collaborative Applicant (CA) partnered with providers specializing in veterans, persons experiencing chronic homelessness, and families w/ children to recruit persons w/ experience of homelessness from each target population to serve as peer guides in the PIT visual count & to administer surveys. Peer guides acted as navigators for PIT count teams, identifying high traffic areas & "hotspots". The Collaborative Applicant partnered with outreach programs working with encampments in the City of San Jose to identify encampment areas & to use outreach staff to count & survey encampments instead of volunteer teams. Family emergency shelters & shelters w/ dedicated veteran beds were included in the sheltered count, & the Collaborative Applicant ensured that the survey included a representative sample of persons in those shelters.
3A. Continuum of Care (CoC) System Performance

Instructions
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

3A-1. Performance Measure: Reduction in the Number of First-Time Homeless. Describe: (1) the numerical change the CoC experienced; (2) the process the CoC used to identify risk factors of becoming homeless for the first time; (3) the strategies in place to address individuals and families at risk of becoming homeless; and (4) the organization or position that is responsible for overseeing the CoC’s strategy to reduce or end the number of individuals and families experiencing homelessness for the first time.
(limit 1000 characters)

CoC REDUCED FTH in both SPM 5.1 (-19.1%) and SPM 5.2 (-16.9%) from FY15 to FY16 w/ targeted HP strategies. ID RISK FACTORS: SCC Family HP System Pilot began 7/2017 w/ 7 core HP agencies (EAN). Pilot uses PR-VI-SPDAT to ID & prioritize highest risk HHs (DV, eviction risk, history of HL, credit, low inc, health crisis) & standardizes HMIS data entry & perf metrics. Will expand to single adults & partnering w/ Notre Dame on multi-yr eval of Pilot to ID local RFs & adjust targeting. BWC (TAY provider) uses data to ID RFs for TAY incl LGBTQ, no fam connection, behav health. STRATEGIES: 1) BWC trains school staff on ID’ing at-risk fams & connects to HP svcs & CES 2) EAN, CalWORKs, & SSVF HP provide crisis finan. support (rent/utilities/med $$), case mgmt, & food assist 3) 4 EAN hsg specialists help retain hsg/relocate 4) Collab. Applct partners w/ Law Foundat’n for legal svcs 5) In 2016, $$+ million in new HP funding (private & local gov’t). RESPONSIBLE: Collab Applcnt Prog Mngr oversees.

3A-2. Performance Measure: Length-of-Time Homeless. CoC’s must demonstrate how they reduce the length-of-time for individuals and families remaining homeless. Describe (1) the numerical change the CoC experienced; (2) the actions the CoC has implemented to reduce the length-of-time individuals and families remain homeless; (3) how the CoC identifies and houses individuals and families with the longest length-of-time homeless; and (4) identify the organization or position that is responsible for overseeing the CoC’s strategy to reduce the length-of-time individuals and families remain homeless.
(limit 1000 characters)

CHANGE IN LOTH: AVG length of time in ES/SH increased by 17 days from FY2015 to FY2016 SPMs, & AVG length of time in ES/SH/TH increased by 45 days. CoC has worked w/ ES/SH/TH to increase PH focus, result in slightly longer stays w/ a 21% INCREASE IN EXITS TO PH from ES/SH/TH.
STRATEGIES TO REDUCE: 1) CES prioritizes based on LOTH & vuln. using VI-SPDAT 2) 100% Hsg First CoC/ESG/County-funded PH lowers barriers & increases hsg success for HHs w/ long histories of HL 3) In 2016: County $9.5M housing bond for new aff. hsg units, $7M for new PSH; CoC leading plan to aggressively spend down & build/rehab units. ID LONGEST TIME HL: Outreach covers entire geo. area using evid-based techniques, CTI, Harm Reduction & strategic use of ES beds to build relationships. Teams give VI-SPDAT & refer to CES, use by-name lists, HMIS to TRACK HHs. CES Matchmakers use VI-SPDAT to ID & prioritize HHs w/ longest term HLness & highest vuln.

RESPONSIBLE: County Office of Supportive Housing ES & PSH Prog Mngrs.

3A-3. Performance Measures: Successful Permanent Housing Placement and Retention
Describe: (1) the numerical change the CoC experienced; (2) the CoCs strategy to increase the rate of which individuals and families move to permanent housing destination or retain permanent housing; and (3) the organization or position responsible for overseeing the CoC’s strategy for retention of, or placement in permanent housing.
(limit 1000 characters)

CoC INCREASED EXITS TO PH (SPM 7b1) by 21% and INCREASED HOUSING STABILITY for PSH (SPM 7b2) by from 96% to 97% btwn FY2015 & FY2016 SPMs.
STRATEGIES: 1) PSH programs in the CoC maintain high hsg stability thru Hsg First alignment & a no-fail approach; CM training & support in EBPs (trauma-informed, motivational interviewing, etc); Meaningful Daily Activity progs (group activities, peer mentors); Partnership w/ mainstream bens programs & legal support (e.g. dedicated SSI advocates at Social Svcs. Agency); ANNUAL CoC-wide mainstream benefits trainings (GA, SSI, SSDI, CalWorks, etc.) 2) In 2016/17, County funded ES at higher level to incr. exit care & increased funding for LL incentives to move ppl into hsg 3) In 2016-17, CoC partnered w/ Dest: Home on an EMPLOYMENT INITIATIVE to connect HL & RRH clients to living wage empl. By 2018, will connect Empl. Init. to CES for earlier intervention to improve RRH hsg stability. RESPONSIBLE: County Office of Supportive Hsg PSH & RRH Prog Mngrs.

Describe: (1) the numerical change the CoC experienced, (2) what strategies the CoC implemented to identify individuals and families who return to homelessness, (3) the strategies the CoC will use to reduce additional returns to homelessness, and (4) the organization or position responsible for overseeing the CoC’s efforts to reduce the rate of individuals and families’ returns to homelessness.
(limit 1000 characters)

COC REDUCED RTH W/IN 2YRS from 21% to 20% (FY2015 SPMs to FY2016 SPMs). ID & TRACK: HMIS report is available to track RTH from single projects & can drill down in HMIS to ID specific HHs. CES matchmakers review client history & refer returning clients to diff hsg or provider. STRATEGY TO REDUCE: 1) Hsg case mngrs build relationships w/ LLs to avoid eviction 2) Collab Applict & providers partner w/ Law Foundation for anti-eviction legal svcs & mediation (incr. funding in 2016) 3) In 2017 CoC competition, CoC added
10pt RTH scoring factor for Renewal Projects 4) For DV pop., trauma-informed case mgmt. & prioritize client choice to ensure safe & stable hsg. NEXT 12 MOS CoC will 1) Expand implementation of CoC-wide Empl. Initiative targeting RRH clients for LIVING-WAGE EMPL training & placement; 2) Collab Applcnt to add 2 step-down case mngrs to continue support for clients exiting PSH.
RESPONSIBLE: County Office of Supportive Hsg in collab w/ Destination: Home Director of Empl. Strategies.

3A-5. Performance Measures: Job and Income Growth
Describe: (1) the strategies that have been implemented to increase access to employment and mainstream benefits; (2) how the CoC program-funded projects have been assisted to implement the strategies; (3) how the CoC is working with mainstream employment organizations to help individuals and families increase their cash income; and (4) the organization or position that is responsible for overseeing the CoC’s strategy to increase job and income growth from employment, non-employment including mainstream benefits.
(limit 1000 characters)
COC INCREASED INCOME for 10% more stayers in FY16 vs FY15 (both empl. & non-empl). COC INCREASED INCOME for 7% more leavers, including 10% more leavers w/ incr. empl. income. STRATEGIES: All hsg providers assess for benefits eligibility & need for educ/employment svcs; help clients access benefits, educ., job search, job/voc training (e.g. Goodwill, SJ Job Corp, Center for Empl Training (CET), NOVA Job Ctr, County Empl Specialists). CoC & Dest: Home EMPL. INITIATIVE targets RRH clients for living-wage empl. training (healthcare, building & constr, advanced manufacturing, data & design tech); partnered w/ MAINSTREAM EMPL ORGS (Working Partnerships, Goodwill, Work2Future, CET, REDF, Leaders Up, Teen Force, Building Trades Council). COC ASSISTANCE: CoC offers annual Mainstream Bens trainings (3/16/17) w/ County & Law Foundation. CoC & County dedicating add'l SSI ADVOCATES for PSH. RESPONSIBLE: Collab Applcnt PSH/RRH Program Mngrs in collab. w/ Dest: Home Director of Empl. Strategies.

3A-6. Did the CoC completely exclude a geographic area from the most recent PIT count (i.e. no one counted there, and for communities using samples in the area that was excluded from both the sample and extrapolation) where the CoC determined there were no unsheltered homeless people, including areas that are uninhabitable (deserts, forests).
Yes

3A.6a. If the response to 3A-6 was “Yes”, what was the criteria and decision-making process the CoC used to identify and exclude specific geographic areas from the CoCs unsheltered PIT count?
(limit 1000 characters)
In the 2017 PIT (SCC’s most recent unsheltered count), the CoC excluded 1 of 341 census tracts. This tract was identified for exclusion based on the following
factors: 1) Mudslides and road closures following record-setting rain & flooding made the census tract impossible to access. 2) This tract has not had any homeless individuals counted in the last several PIT counts. The PIT Count planning team & CoC Collaborative Applicant made the decision to exclude based on review of previous PIT Count results for this census tract, reports of road closures, & assessment of safety risks to PIT teams who would have had to hike into remote & uninhabited areas.

3A-7. Enter the date the CoC submitted the System Performance Measures data in HDX, which included the data quality section for FY 2016. (mm/dd/yyyy) 06/02/2017
3B. Continuum of Care (CoC) Performance and Strategic Planning Objectives

Instructions
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

3B-1. Compare the total number of PSH beds, CoC program and non CoC-program funded, that were identified as dedicated for yes by chronically homeless persons in the 2017 HIC, as compared to those identified in the 2016 HIC.

<table>
<thead>
<tr>
<th></th>
<th>2016</th>
<th>2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of CoC Program and non-CoC Program funded PSH beds dedicated for use by chronically homelessness persons identified on the HIC.</td>
<td></td>
<td>1,931</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>1,867</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>-64</td>
</tr>
</tbody>
</table>

3B-1.1. In the box below: (1) "total number of Dedicated PLUS Beds" provide the total number of beds in the Project Allocation(s) that are designated ad Dedicated PLUS beds; and (2) in the box below "total number of beds dedicated to the chronically homeless:; provide the total number of beds in the Project Application(s) that are designated for the chronically homeless. This does not include those that were identified in (1) above as Dedicated PLUS Beds.

| Total number of beds dedicated as Dedicated Plus | 57   |
| Total number of beds dedicated to individuals and families experiencing chronic homelessness | 441  |
| Total                                              | 498  |

3B-1.2. Did the CoC adopt the Orders of Priority into their standards for all CoC Program funded PSH projects as described in Notice CPD-16-11: Prioritizing Persons Experiencing Chronic Homelessness and Other Vulnerable Homeless Persons in Permanent Supportive Housing.

Yes

3B-2.1. Using the following chart, check each box to indicate the factor(s) the CoC currently uses to prioritize households with children based on need during the FY 2017 Fiscal Year.

<table>
<thead>
<tr>
<th>Factor</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>History of or Vulnerability to Victimization</td>
<td>X</td>
</tr>
<tr>
<td>Number of previous homeless episodes</td>
<td>X</td>
</tr>
</tbody>
</table>
3B-2.2. Describe: (1) the CoCs current strategy and timeframe for rapidly rehousing every household of families with children within 30 days of becoming homeless; and (2) the organization or position responsible for overseeing the CoC’s strategy to rapidly rehouse families with children within 30 days of becoming homeless. (limit 1000 characters)

STRATEGY: 1) Fams immediately connected to CES at 52 entry pts, incl schools, street outreach, & fam ES 2) CoC agencies train school staff to ID homeless fams; co-locate svcs on campus to refer to CES; 3) County has incr. funding for LL engagement to incr. avai units 4) 100% Housing First CoC/ESG RRH w trauma-informed case mgmt ensures low barriers; 5) In FY2017-18 will launch new school-based County Gen’l Fund RRH for families & new State-funded RRH for families reunifying out of child welfare system. TIMEFRAME: CoC’s Community Plan goal to rapidly rehouse all HL fams by 2020. RRH capacity adequate to re-house all families ID’ed in PIT count. Primary barrier is hsg availability & high rent costs. W/ $9.5M County hsg bond, CoC will add approx. 4800 aff. hsg. units (new constr/conver.) over 10yrs. EFFECTIVENESS: System averages 58 days from RRH enrollment to hsg for families w children housed from 9/2016 to 8/2017. RESPONSIBLE: County Office of Supportive Hsg in collab. w/ SSVF.

3B-2.3. Compare the number of RRH units available to serve families from the 2016 and 2017 HIC.

<table>
<thead>
<tr>
<th>Number of CoC Program and non-CoC Program funded PSH units dedicated for use by chronically homelessness persons identified on the HIC.</th>
<th>2016</th>
<th>2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>102</td>
<td>102</td>
<td>0</td>
</tr>
</tbody>
</table>

3B-2.4. Describe the actions the CoC is taking to ensure emergency shelters, transitional housing, and permanent supportive housing (PSH and RRH) providers within the CoC adhere to anti-discrimination policies by not denying admission to, or separating any family members from other members of their family or caregivers based on age, sex, gender, LGBT status, marital status or disability when entering a shelter or Housing. (limit 1000 characters)

POLICY: CoC’s Quality Assurance Standards (QAS) (written standards that apply to CoC, ESG, County & included in CoC contract addendum shared w/ local jurisdictions) explicitly prohibit discrimination based on age, sex, gender, LGBT status, marital or familial status, and/or disability. QAS also PROHIBIT
3B-2.5. From the list below, select each of the following the CoC has strategies to address the unique needs of unaccompanied homeless youth.

| Human trafficking and other forms of exploitation? | Yes |
| LGBT youth homelessness? | Yes |
| Exits from foster care into homelessness? | Yes |
| Family reunification and community engagement? | Yes |
| Positive Youth Development, Trauma Informed Care, and the use of Risk and Protective Factors in assessing youth housing and service needs? | Yes |

3B-2.6. From the list below, select each of the following the CoC has a strategy for prioritization of unaccompanied youth based on need.

| History or Vulnerability to Victimization (e.g., domestic violence, sexual assault, childhood abuse) | X |
| Number of Previous Homeless Episodes | X |
| Unsheltered Homelessness | X |
| Criminal History | X |
| Bad Credit or Rental History | X |

3B-2.7. Describe: (1) the strategies used by the CoC, including securing additional funding to increase the availability of housing and services for youth experiencing homelessness, especially those experiencing unsheltered homelessness; (2) provide evidence the strategies that have been implemented are effective at ending youth homelessness; (3) the measure(s) the CoC is using to calculate the effectiveness of the strategies; and (4) why the CoC believes the measure(s) used is an appropriate way to determine the effectiveness of the CoC’s efforts. (limit 1500 characters)

INCR RESOURCES: Since FY15, CoC awarded 2 new CoC-funded TAY RRH projects (87 units), in 2017 applying for 2 new TAY RRH (52 units) & TH-RRH project (6 units). CoC applied for YHDP & will re-apply. In 2016-17, BWC (TAY provider) expanded drop-in & outreach services w/ new outreach, cm, & clinical staff dedicated to LGBTQ youth; added outreach staff at school sites; submitted
grant apps for TAY interim hsg (state) & TH for LGBTQ TAY (fed’l). In 2017, cross-system wking grp of funders (incl First 5, County, Children’s Fund, CoC rep) convened to identify & address gaps. STRATEGY: 1) BWC TAY street outreach, drop-in center, & school outreach engage HL & unsheltered TAY w CES & svcs, incl. targeted to DV, trafficked, LGBTQ, parenting subpops. 2) CES w TAY-VI-SPDAT prioritization for 63 TAY PSH beds (96.8% HSG STABILITY, 23.1% HAD BENEFITS 7/1/16-6/30/17) & 94+ TAY RRH units (76% PH EXITS, 18.8% INCR INCOME 7/1/16-6/30/17) supported by educ, employment, health & benefits svcs using TIC & Pos Youth Dev. 3) BWC Family Acceptance Proj reconnects TAY to family safely & w/ supports. 

METRICS: HOUSING STABILITY: (stay in PSH + exit to PH)/total served. EXIT TO PH: exit to PH/total exits. INCR INCOME: Adults incr income/total adults. CONNECTED TO BENEFITS: Adults w/ benefits/total adults. METRICS EFFECTIVE b/c they measure success in ending HLness for TAY (housing stability, PH exits, returns) & resources to maintain hsg (income, benefits).

3B-2.8. Describe: (1) How the CoC collaborates with youth education providers, including McKinney-Vento local educational authorities and school districts; (2) the formal partnerships the CoC has with these entities; and (3) the policies and procedures, if any, that have been adopted to inform individuals and families who become homeless of their eligibility for educational services.

 COLLAB & PARTNRSHIPS: 1) Co-locate CoC agencies at schools for case mgmt, connect to CES & CoC resources 2) Mult. sch dists. partner in school-based $1M County-funded RRH (60 HHs) 3) Qrtrly LEA mtgs w CoC/ESG, liaisons & yth providers re leg updates, McKinney TA 4) CoC-funded agencies train schools to ID, support HL/at-risk fams 5) schools particip in PIT & 2016-17 count of unstably housed yth 6) TAY wking group (First 5, County, Children’s Fund, Dest: Home, Collab Applct) to result in MOU. 7) CoC providers wk w early childhood progs (CHAC, Choices for Childrn, CCCC, HeadSt) for childcare, toddler/pre-k edu. COC P&PS REQ PROGS to “Inform fams w kids & unaccomp yth of their edu rights, incl written materials, help w enrollment, & linkage to McKinney Liaisons as part of intake; F) Post notices of student’s rights at each prog site that serves HL kids & fams in appropr langs; G) Designate staff responsible for:1) Ensuring HL kids & yth in their progs are in school & receiving all edu svcs”

3B-2.9. Does the CoC have any written formal agreements, MOU/MOAs or partnerships with one or more providers of early childhood services and supports? Select “Yes” or “No”.

<table>
<thead>
<tr>
<th>MOU/MOA</th>
<th>Other Formal Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Early Childhood Providers</td>
<td>No</td>
</tr>
<tr>
<td>Head Start</td>
<td>No</td>
</tr>
<tr>
<td>Early Head Start</td>
<td>No</td>
</tr>
<tr>
<td>Child Care and Development Fund</td>
<td>No</td>
</tr>
<tr>
<td>Federal Home Visiting Program</td>
<td>No</td>
</tr>
<tr>
<td>Healthy Start</td>
<td>No</td>
</tr>
<tr>
<td>Public Pre-K</td>
<td>No</td>
</tr>
</tbody>
</table>
3B-3.1. Provide the actions the CoC has taken to identify, assess, and refer homeless Veterans who are eligible for Veterans Affairs services and housing to appropriate resources such as HUD-VASH and Supportive Services for Veterans Families (SSVF) program and Grant and Per Diem (GPD).

ID: Outreach teams & all 52 CES entry pts VI-SPDAT potential vets & ASK ABOUT MILITARY SVC & DISCHARGE STATUS, then refer to CES. Outreach, incl dedicated vets outreach, covers entire geo area & targets areas where vets congregate, incl camps, VAMC. Vet hotline, marketing & Vet shelter beds incr access. ASSESS: CES staff CONFIRM SVC HISTORY & VA CONFIRMS ELIGIBILITY for all vets in CES. REFER: Progressive engagement model: CES refers VA-eligible vets to SSVF (& adding GPD as CES expands to TH); SSVF, GPD & other providers refer directly to VA for VASH as higher level of support needed. Constant cross-communication w CoC, VA, VRC, SSVF admins, incl weekly SSVF calls, case conf, & CoC agency visits to VRC to ensure eligible clients connect to approp. VA resources. Dest:Home, VA, Housing Auth, CSJ, & CoC collaborate on ATW Home Campaign: LL campaign & incentives engaged 353 new LLs from 11/2015 to 6/2017; as a result, VASH voucher utilization was 81% in 12/2016 up from 63% in 12/2015.

3B-3.2. Does the CoC use an active list or by name list to identify all Veterans experiencing homelessness in the CoC? Yes

3B-3.3. Is the CoC actively working with the VA and VA-funded programs to achieve the benchmarks and criteria for ending Veteran homelessness? Yes

3B-3.4. Does the CoC have sufficient resources to ensure each Veteran is assisted to quickly move into permanent housing using a Housing First approach? No
4A. Continuum of Care (CoC) Accessing Mainstream Benefits and Additional Policies

Instructions:
For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

4A-1. Select from the drop-down (1) each type of healthcare organization the CoC assists program participants with enrolling in health insurance, and (2) if the CoC provides assistance with the effective utilization of Medicaid and other benefits.

<table>
<thead>
<tr>
<th>Type of Health Care</th>
<th>Yes/No</th>
<th>Assist with Utilization of Benefits?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Health Care Benefits</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>(State or Federal benefits, e.g. Medicaid, Indian Health Services)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Private Insurers:</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Non-Profit, Philanthropic:</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Other: (limit 50 characters)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>CoC on planning grp for State hsg prog for Medical</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4A-1a. Mainstream Benefits

CoC program funded projects must be able to demonstrate they supplement CoC Program funds from other public and private resources, including: (1) how the CoC works with mainstream programs that assist homeless program participants in applying for and receiving mainstream benefits; (2) how the CoC systematically keeps program staff up-to-date regarding mainstream resources available for homeless program participants (e.g. Food Stamps, SSI, TANF, substance abuse programs); and (3) identify the organization or position that is responsible for overseeing the CoCs strategy for mainstream benefits. (limit 1000 characters)

LEVERAGE MAINSTREAM BENEFITS PROVIDERS: 1) County Social Svcs Agency (SSA) dedicates 2 SSI advocates to CoC, co-located at VHHP (County hospital system’s mobile homeless healthcare). Collab Applct working w/ SSA to allocate add’l SSI advocates to PSH system. 2) CalWorks RRH program is co-managed by Collab Applct (pass through funding & manages subcontracts) & SSA (administers funding, VI-SPDAT assess., referrals) 3) Collab. Applct, City of San Jose, & SSA fund UPLIFT transportation passes/assistance, provided to homeless clients of SNAP, SSI, TANF, GA offices. COC UPDATES PROGRAM STAFF REGULARLY: CoC offers annual CoC-wide 3-hr Mainstream Bens trainings (3/16/17) w/ SSA & Legal Services of Silicon Valley co-trainers on eligibility, application process & best practices, maintaining benefits. Collab Applcnt staff inform Service Provider Network email list of

Applicant: San Jose/Santa Clara City & County CoC
Project: CA-500 CoC Registration FY2017

COC_REG_2017_149368

FY2017 CoC Application Page 30 09/21/2017
updates/changes to benefits program. RESPONSIBLE: County Office of Supportive Hsg (PSH Pgm Mgr) & County Social Svcs Agency.

4A-2. Low Barrier: Based on the CoCs FY 2017 new and renewal project applications, what percentage of Permanent Housing (PSH) and Rapid Rehousing (RRH), Transitional Housing (TH), Safe-Haven, and SSO (Supportive Services Only-non-coordinated entry) projects in the CoC are low-barrier?

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total number of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO project applications in the FY 2017 competition (new and renewal)</td>
<td>29.00</td>
</tr>
<tr>
<td>Total number of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO renewal and new project applications that selected “low barrier” in the FY 2017 competition.</td>
<td>29.00</td>
</tr>
<tr>
<td>Percentage of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO renewal and new project applications in the FY 2017 competition that will be designated as “low barrier”</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

4A-3. Housing First: What percentage of CoC Program Funded PSH, RRH, SSO (non-coordinated entry), safe-haven and Transitional Housing; FY 2017 projects have adopted the Housing First approach, meaning that the project quickly houses clients without preconditions or service participation requirements?

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total number of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH project applications in the FY 2017 competition (new and renewal).</td>
<td>29.00</td>
</tr>
<tr>
<td>Total number of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH renewal and new project applications that selected Housing First in the FY 2017 competition.</td>
<td>29.00</td>
</tr>
<tr>
<td>Percentage of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH renewal and new project applications in the FY 2017 competition that will be designated as Housing First.</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

4A-4. Street Outreach: Describe (1) the CoC’s outreach and if it covers 100 percent of the CoC’s geographic area; (2) how often street outreach is conducted; and (3) how the CoC has tailored its street outreach to those that are least likely to request assistance. (limit 1000 characters)

OUTREACH (OR) COVERS 100% of the CoC’s geo. area & is CES access pt. PATH & Downtown Streets Team target dwntn San Jose (DAILY); VHHP on-foot medical OR targets encampments (WKLY); VHHP mobile medical van (WKLY), HomeFirst OR team (DAILY), SSVF (DAILY) & HomeFirst ded. vets OR (DAILY) throughout County. In FY16-17, 37% of exits from OR were to PH. TARGETING & REDUCING BARRIERS: 1) OR blds trust/relationships using CTI, Trauma Informed case mgmt, ES beds, food/hygiene supplies, etc to engage ppl least likely to access svcs; 2) OR teams incl. multi-lingual, medical, psychiatric, & peer staff (eg youth, LGBTQ, formerly homeless) to target priority pops; 3) VHHP mobile medical OR engages ppl (incl. w/ disabilities) who wd not access med. or emergency svcs; 4) Collab Applict Client Engagement Team targets OR to clients at top of CES queue; 5) Sign Lang. interp & phys. accessible transport. available as needed 6) 4 dedicated TAY OR staff, incl LGBTQ OR, a 24/7 youth hotline, & drop-in center.

4A-5. Affirmative Outreach
Specific strategies the CoC has implemented that furthers fair housing as
detailed in 24 CFR 578.93(c) used to market housing and supportive services to eligible persons regardless of race, color, national origin, religion, sex, gender identify, sexual orientation, age, familial status, or disability; who are least likely to apply in the absence of special outreach. Describe: (1) the specific strategies that have been implemented that affirmatively further fair housing as detailed in 24 CFR 578.93(c); and (2) what measures have been taken to provide effective communication to persons with disabilities and those with limited English proficiency. (limit 1000 characters)

STRATEGIES: CoC has increased # of access pts. at existing community-based srvc centers w/ ties to target subpops (dev. disabilities, youth & young-parent families, families w/ children, Spanish-speaking, fleeing DV) & at high-volume mainstream resrcs across the CoC’s geo area. CES system committed to providing phys accessible CES entry at access pts (reflected in CES P&Ps). Outreach (OR) teams incl. diverse multi-lingual staff, peers (e.g. youth, LGBTQ), & mental health clinicians. OR target subpops. (youth, LGBTQ, pregnant & parenting, vets). COMMUNICATION: CES materials currently being translated into Spanish & Vietnamese. Sign-language & commonly spoken language interpreters avail. on call for CES access hsg providers through County & other local jurisdictions. CES marketing strategy update in planning stages at CES Wkgrp w/ focus on accessibility & affirmative OR; Wkgrp analyzing aggregated demographic data from CES assessments to ID targeted OR gaps & needs.

4A-6. Compare the number of RRH beds available to serve populations from the 2016 and 2017 HIC.

<table>
<thead>
<tr>
<th>RRH beds available to serve all populations in the HIC</th>
<th>2016</th>
<th>2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>385</td>
<td>532</td>
<td>147</td>
</tr>
</tbody>
</table>

4A-7. Are new proposed project applications requesting $200,000 or more in funding for housing rehabilitation or new construction? No

4A-8. Is the CoC requesting to designate one or more SSO or TH projects to serve homeless households with children and youth defined as homeless under other Federal statues who are unstably housed (paragraph 3 of the definition of homeless found at 24 CFR 578.3).  No
4B. Attachments

Instructions:
Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site: https://www.hudexchange.info/resource/3118/creating-a-zip-file-and-capturing-a-screenshot-resource

<table>
<thead>
<tr>
<th>Document Type</th>
<th>Required?</th>
<th>Document Description</th>
<th>Date Attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>01. 2016 CoC Consolidated Application: Evidence of the CoC’s communication to rejected participants</td>
<td>Yes</td>
<td>Rejection - Reduc...</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>02. 2016 CoC Consolidated Application: Public Posting Evidence</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>03. CoC Rating and Review Procedure (e.g. RFP)</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>04. CoC's Rating and Review Procedure: Public Posting Evidence</td>
<td>Yes</td>
<td>CoC Rating and Ra...</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>05. CoCs Process for Reallocating</td>
<td>Yes</td>
<td>CoC Process for R...</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>06. CoC's Governance Charter</td>
<td>Yes</td>
<td>Governance Charter</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>07. HMIS Policy and Procedures Manual</td>
<td>Yes</td>
<td>HMIS Policy and P...</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>08. Applicable Sections of Con Plan to Serving Persons Defined as Homeless Under Other Fed Statutes</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>09. PHA Administration Plan (Applicable Section(s) Only)</td>
<td>Yes</td>
<td>PHA Administration...</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>10. CoC-HMIS MOU (if referenced in the CoC's Governance Charter)</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. CoC Written Standards for Order of Priority</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Project List to Serve Persons Defined as Homeless under Other Federal Statutes (if applicable)</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. HDX-system Performance Measures</td>
<td>Yes</td>
<td>FY 2017 CoC Compe...</td>
<td>09/21/2017</td>
</tr>
<tr>
<td>14. Other</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. Other</td>
<td>No</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Attachment Details

Document Description: Rejection - Reduction

Attachment Details

Document Description:

Attachment Details

Document Description:

Attachment Details

Document Description: CoC Rating and Ranking Procedure - Public Posting

Attachment Details

Document Description: CoC Process for Reallocating
Document Description: Governance Charter

Attachment Details

Document Description: HMIS Policy and Procedures Manual

Attachment Details

Document Description:

Attachment Details

Document Description: PHA Administration Plan

Attachment Details

Document Description:

Attachment Details
Submission Summary

Ensure that the Project Priority List is complete prior to submitting.

<table>
<thead>
<tr>
<th>Page</th>
<th>Last Updated</th>
</tr>
</thead>
<tbody>
<tr>
<td>1A. Identification</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>1B. Engagement</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>1C. Coordination</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>1D. Discharge Planning</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>1E. Project Review</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>2A. HMIS Implementation</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>2B. PIT Count</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>2C. Sheltered Data - Methods</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>3A. System Performance</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>3B. Performance and Strategic Planning</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>4A. Mainstream Benefits and Additional Policies</td>
<td>09/19/2017</td>
</tr>
<tr>
<td>4B. Attachments</td>
<td>Please Complete</td>
</tr>
<tr>
<td>Submission Summary</td>
<td>No Input Required</td>
</tr>
</tbody>
</table>
**ATTACHMENT:** Evidence of the CoC’s Communication to Reduced and Rejected Participants

<table>
<thead>
<tr>
<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email Communications With Rejected &amp; Reduced Projects – May 16 to September 13, 2017</td>
<td></td>
</tr>
<tr>
<td>o Emails between CoC-funded projects eligible for renewal and the Collaborative Applicant, confirming intent to reallocate or CoC Board decision to reallocate, reject, or reduce.</td>
<td>1 - 18</td>
</tr>
<tr>
<td>o <strong>Sobrato Family Living Center</strong> – Email confirming voluntary reallocation prior to local process.</td>
<td></td>
</tr>
<tr>
<td>▪ May 16, 2017</td>
<td>1 - 3</td>
</tr>
<tr>
<td>o <strong>Off the Streets Housing for Homeless Addicted to Alcohol</strong> – Email confirming voluntary reallocation prior to local process.</td>
<td></td>
</tr>
<tr>
<td>▪ May 16, 2017</td>
<td>4 - 5</td>
</tr>
<tr>
<td>o <strong>Navigator</strong> – Email confirming voluntary reallocation during local process.</td>
<td></td>
</tr>
<tr>
<td>▪ August 9, 2017</td>
<td>6</td>
</tr>
<tr>
<td>o <strong>Our New Place</strong> – Email confirming voluntary reallocation during local process (reduction) &amp; approval by CoC Board. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>▪ September 13, 2017</td>
<td>7 - 8</td>
</tr>
<tr>
<td>o <strong>Rapid Re-housing for Homeless Youth</strong> (New Project Application from Midtown Family Services) – Email explaining reason for rejection of application by CoC Board. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>▪ September 13, 2017</td>
<td>9 - 10</td>
</tr>
<tr>
<td>o <strong>Haven to Home</strong> (Renewal Project Application from West Valley Community Services) – Email explaining reason for reduction of application by CoC Board. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>▪ September 13, 2017</td>
<td>11</td>
</tr>
<tr>
<td>o Applications from YWCA – Email confirming inclusion of project applications in Final Priority Listing. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>▪ September 13, 2017</td>
<td>12</td>
</tr>
<tr>
<td>o Applications from County of Santa Clara, by and through the Office of Supportive Housing – Email confirming inclusion of project applications in Final Priority Listing. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>▪ September 13, 2017</td>
<td>13 - 14</td>
</tr>
<tr>
<td>o Applications from Bill Wilson Center – Email confirming inclusion of project applications in Final Priority Listing. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>▪ September 13, 2017</td>
<td>15 - 16</td>
</tr>
<tr>
<td>Applications from Abode Services and Community Working Group – Email confirming inclusion of project applications in Final Priority Listing. The Final Priority List was attached.</td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>September 13, 2017</td>
<td></td>
</tr>
<tr>
<td>Priority List Attached to September 13 Emails</td>
<td></td>
</tr>
<tr>
<td>o The final priority list, attached to the above email, indicating:</td>
<td></td>
</tr>
<tr>
<td>▪ Project applicants to be accepted and ranked on the 2017 Santa Clara County CoC Priority Listing;</td>
<td></td>
</tr>
<tr>
<td>▪ Project applicants rejected by the CoC Board (p.18-19);</td>
<td></td>
</tr>
<tr>
<td>▪ Project applicants reduced by the CoC Board (p.18-19); and</td>
<td></td>
</tr>
<tr>
<td>▪ Projects applicants that <strong>reallocated voluntarily</strong> (p.19).</td>
<td></td>
</tr>
</tbody>
</table>

**Public Posting of Final Priority Listing on CoC Website - September 14, 2017**
CoC grant for SFLC Permanent Units

3 messages

Barroga, Hilary <Hilary.Barroga@hhs.sccgov.org>  
To: Andrea Urton <aurton@homefirstscc.org>  
Cc: SCCNOFA <sccnofa@homebaseccc.org>

Hi Andrea-

Will you please confirm that HomeFirst will be voluntarily reallocating the SFLC Permanent Housing CoC grant in this year's NOFA competition?

Thank you!
Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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Barroga, Hilary <Hilary.Barroga@hhs.sccgov.org>  
To: Andrea Urton <aurton@homefirstscc.org>  
Cc: SCCNOFA <sccnofa@homebaseccc.org>

Hi Andrea-

When I say voluntary reallocation, I mean that you are not intending to apply for a renewal to this grant in the 2017 NOFA Competition. Thus, when the grant ends in October 2018, the CoC funds wouldn’t renew.

It is my understanding that you are giving that grant back voluntarily, so the funds will be reallocated in the 2017 NOFA Competition. Your confirmation would help us describe to HUD the reason that the project would not be included on the priority listing as a renewal.
Thanks!
Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara

---

From: Andrea Urton [mailto:aurton@homefirstscc.org]
Sent: Tuesday, May 16, 2017 1:04 PM
To: Barroga, Hilary <Hilary.Barroga@hhs.sccgov.org>
Subject: RE: CoC grant for SFLC Permanent Units

Hello Hilary;

I do not understand what you mean reallocating? In the meeting we had HF will continue to administer the HUD grant of $29,414 till October 2018 so that the dollars stay in the COC.

Is there something else I am missing? If so, Please advise.

Thank you,

A

Andrea Urton
Chief Executive Officer | HomeFirst
507 Valley Way | Milpitas, CA 95035
Direct: 408.539.2113 | Fax: 408.957.0253
www.HomeFirstSCC.org
Visit us on Facebook: HomeFirst Services

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---

From: Barroga, Hilary [mailto:Hilary.Barroga@hhs.sccgov.org]
Sent: Tuesday, May 16, 2017 11:48 AM
To: Andrea Urton <aurton@homefirstscc.org>
Cc: SCCNOFA <sccnofa@homebaseccc.org>
Subject: CoC grant for SFLC Permanent Units

[Quoted text hidden]
Thanks, Andrea!

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara

From: Andrea Urton [mailto:aurton@homefirstscc.org]
Sent: Tuesday, May 16, 2017 2:00 PM
To: Barroga, Hilary <Hilary.Barroga@hhs.sccgov.org>
Subject: RE: CoC grant for SFLC Permanent Units

Thank you for the clarity yes you are correct we will not be renewing at this time. Therefore the money will be given back voluntarily.

We appreciate you support with this.

Warmly,
Andrea

Andrea Urton
Chief Executive Officer | HomeFirst
507 Valley Way | Milpitas, CA 95035
Direct: 408.539.2113 | Fax: 408.957.0253
www.HomeFirstSCC.org
Visit us on Facebook: HomeFirst Services

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CoC Off the Streets/HHAA grant

3 messages

**Barroga, Hilary** <Hilary.Barroga@hhs.sccgov.org>  
To: "Le, Ky" <Ky.Le@hhs.sccgov.org>  
Cc: "Kong, Ben" <Ben.Kong@hhs.sccgov.org>, SCCNOFA <sccnofa@homebaseccc.org>

Hi Ky-

Will you please confirm that the County of Santa Clara by and through OSH will be voluntarily reallocating the Off the Streets – Housing for Homeless Addicted to Alcohol grant in this year’s NOFA competition?

Thank you!

Hilary

---

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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**Le, Ky** <Ky.Le@hhs.sccgov.org>  
To: "Barroga, Hilary" <Hilary.Barroga@hhs.sccgov.org>  
Cc: "Kong, Ben" <Ben.Kong@hhs.sccgov.org>, SCCNOFA <sccnofa@homebaseccc.org>

Confirmed

---

Ky Le
Director, Office of Supportive Housing
Main: 408-793-0550 / Direct: 408-793-0551
Assistant, MJ Suba: 408-793-0544 / Melinda.Suba@hhs.sccgov.org
From: Barroga, Hilary  
Sent: Tuesday, May 16, 2017 1:36 PM  
To: Le, Ky  
Cc: Kong, Ben; SCCNOFA  
Subject: CoC Off the Streets/HHAA grant  

[Quoted text hidden]  
[Quoted text hidden]  

Barroga, Hilary <Hilary.Barroga@hhs.sccgov.org>  
To: "Le, Ky" <Ky.Le@hhs.sccgov.org>  
Cc: "Kong, Ben" <Ben.Kong@hhs.sccgov.org>, SCCNOFA <sccnوف@homebaseccc.org>  

Thanks!  

Hilary Barroga  
Continuum of Care Quality Improvement Manager  
Office of Supportive Housing  
County of Santa Clara  

From: Le, Ky  
Sent: Tuesday, May 16, 2017 2:24 PM  
To: Barroga, Hilary <Hilary.Barroga@hhs.sccgov.org>  
Cc: Kong, Ben <Ben.Kong@hhs.sccgov.org>; SCCNOFA <sccnوف@homebaseccc.org>  
Subject: RE: CoC Off the Streets/HHAA grant  

[Quoted text hidden]  
[Quoted text hidden]
Dear Homebase,

Abode Services is choosing to voluntarily re-allocate the Navigator program. We will not be submitting its renewal.

Please let me know if you have any questions,

Karen

Karen Erickson, MSW
Director of Evaluation and Policy
Abode Services
1700 Broadway, Suite 200
Oakland, CA 94612
Ph. 510-657-7409 x240
Cell: 415-225-4959
Fax: 510-338-6554
Email: kerickson@abodeservices.org

www.Abodeservices.org
Hello David,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC’s FY 2017 funding application.

The following St. Joseph's Family Center project application will be included with the CoC’s application to HUD at the applicant’s request amount:

- Gilroy Place

The following St. Joseph's Family Center project application will be included with the CoC's application to HUD at a reduced amount:

- Our New Place
  - New Request Amount: $348,330
  - Reason for Reduction: The Review and Rank panel appreciated the applicant's offer to voluntarily reallocate part of this grant to right-size the funding to the project's needs. The CoC Board approved this recommendation.

Thank you for your good work!

Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570
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2017 SCC CoC Final Priority Listing.pdf
32K
Hello Marty,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC's FY 2017 funding application.

The following MidTown Family Services project application will not be included with the CoC's application to HUD:

- Rapid Rehousing for Homeless Families
  - Reason: There was not enough available funding to include this project in the CoC's request at its final position in the ranked list.

Thank you for your good work!

Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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Hello Josh and Sujatha,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC's FY 2017 funding application.

The following West Valley Community Services project application will be included with the CoC's application to HUD at a reduced amount:

- Haven to Home
  - New Request Amount: $620,599
  - Reason for Reduction: The Review and Rank panel recommended reduction of the grant request amount so that the project would fit into the total amount of funding available to the CoC. This recommendation was approved by the CoC Board.

Thank you for the good work that you do!

Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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Hello YWCA tribe,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC’s FY 2017 funding application.

The following YWCA project applications will be included with the CoC’s application to HUD at the applicant’s request amount:

- Domestic Violence Rapid Rehousing for Families
- Sexual Assault & Human Trafficking-Rehousing Intervention Solutions Efforts (SA & HT-RISE)

Thank you for the good work that you do!

Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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2017 SCC CoC Final Priority Listing.pdf
32K
Hello Ben,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC’s FY 2017 funding application.

The following County project applications will be included with the CoC’s application to HUD at the applicant’s request amount:

- Housing Case Management for Medical Respite Recovery
- SCVHHS Rental Assistance Program #2
- Samaritan Inns
- CCP Placement Project
- CoC Renewal Grant Application SCC Chronically Homeless PSH
- Housing Case Management for the Homeless
- CoC Grant Renewal Application 5320
- Senter Road PSH
- CoC Grant Renewal Application 5022
- CCP Placement Project [EXPANSION]
- Santa Clara County Rapid Rehousing Program for Domestic Violence and Human Trafficking Survivors
- Santa Clara County Rapid Rehousing Program for Re-Entry
- Santa Clara County Rapid Rehousing Program for Families & Youth
- HMIS Expansion
- HMIS SCC
- Santa Clara County Coordinated Entry System
- Family Housing
- HMIS Expansion [EXPANSION]
- Haven to Home
- TH-RRH Youth
- Santa Clara County Rapid Rehousing Program for Families & Youth [EXPANSION]
Rapid Rehousing for TAY

Thank you for your good work!

Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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2017 SCC CoC Final Priority Listing.pdf
32K
Hello Pilar and Laura,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC’s FY 2017 funding application.

The following Bill Wilson Center project applications will be included with the CoC's application to HUD at the applicant’s request amount:

- Peacock Commons
- Transitional Housing Program for Youth and Young Families North
- Transitional Housing Program for Youth and Young Families
- Rapid Rehousing Youth
- TH-RRH Youth

Thank you for the good work that you do!

Hilary

Hilary Barroga

Continuum of Care Quality Improvement Manager

Office of Supportive Housing

County of Santa Clara

3180 Newberry Drive, Suite 150

San Jose, CA 95118

(408) 793-0570
must delete the message from your computer. If you have received this message in error, please notify the sender by return email.

2017 SCC CoC Final Priority Listing.pdf
32K
Hello Karen and Justin,

Thank you for participating in the Santa Clara County CoC local funding competition. On September 13, the CoC Board approved the attached FY 2017 CoC Priority Listing. This is the priority ranked order that will be submitted to the Department of Housing and Urban Development (HUD) as part of the CoC's FY 2017 funding application.

The following Abode and Community Working Group project applications will be included with the CoC's application to HUD at the applicant's request amount:

- Mission Rebuild
- Sunset Leasing
- Opportunity Center of the Midpeninsula

Thank you for the good work you do!

Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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**Santa Clara County Continuum of Care**  
2017 Continuum of Care Final Priority Listing  
Approved by CoC Board September 13, 2017

### Tier 1 Recommended List ($0-$18,370,993)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Project</th>
<th>Applicant</th>
<th>Type</th>
<th>Grant Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Housing Case Management for Medical Respite Recovery</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$515,143</td>
</tr>
<tr>
<td>2</td>
<td>Gilroy Place</td>
<td>St. Joseph's Family Center</td>
<td>PH</td>
<td>$332,557</td>
</tr>
<tr>
<td>3</td>
<td>SCVHHS Rental Assistance Program #2</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$127,927</td>
</tr>
<tr>
<td>4</td>
<td>Peacock Commons</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>$265,611</td>
</tr>
<tr>
<td>5</td>
<td>Samaritan Inns</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$486,910</td>
</tr>
<tr>
<td>6</td>
<td>Mission Rebuild</td>
<td>Abode Services</td>
<td>PH</td>
<td>$420,637</td>
</tr>
<tr>
<td>7</td>
<td>CCP Placement Project</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$3,190,471</td>
</tr>
<tr>
<td>8</td>
<td>CoC Renewal Grant Application SCC Chronically Homeless PSH</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$568,883</td>
</tr>
<tr>
<td>9</td>
<td>Housing Case Management for the Homeless</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$502,719</td>
</tr>
<tr>
<td>10</td>
<td>CoC Grant Renewal Application 5320</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$340,749</td>
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<tr>
<td>11</td>
<td>Senter Road PSH</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$676,379</td>
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<tr>
<td>12</td>
<td>CoC Grant Renewal Application 5022</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$3,171,855</td>
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<tr>
<td>13</td>
<td>Opportunity Center of the Midpeninsula</td>
<td>Abode Services</td>
<td>PH</td>
<td>$43,934</td>
</tr>
<tr>
<td>14</td>
<td>CCP Placement Project [NEW - EXPANSION]</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$1,172,616</td>
</tr>
<tr>
<td>15</td>
<td>Sunset Leasing</td>
<td>Abode Services</td>
<td>PH</td>
<td>$218,558</td>
</tr>
<tr>
<td>16</td>
<td>Domestic Violence Rapid Rehousing for Families</td>
<td>YWCA of Silicon Valley</td>
<td>PH</td>
<td>$499,904</td>
</tr>
<tr>
<td>17</td>
<td>Sexual Assault &amp; Human Trafficking-Rehousing Intervention Solutions Efforts (SA &amp; HT-RISE)</td>
<td>YWCA of Silicon Valley</td>
<td>PH</td>
<td>$365,406</td>
</tr>
<tr>
<td>18</td>
<td>Transitional Housing Program for Youth and Young Families North</td>
<td>Bill Wilson Center</td>
<td>TH</td>
<td>$309,348</td>
</tr>
<tr>
<td>19</td>
<td>Rapid Rehousing Youth</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>$440,452</td>
</tr>
<tr>
<td>20</td>
<td>Our New Place</td>
<td>St. Joseph's Family Center</td>
<td>PH</td>
<td>$348,330</td>
</tr>
<tr>
<td>21</td>
<td>Transitional Housing Program for Youth and Young Families</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>$158,923</td>
</tr>
<tr>
<td>22</td>
<td>Santa Clara County Rapid Rehousing Program for Domestic Violence and Human Trafficking Survivors</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$372,664</td>
</tr>
<tr>
<td>23</td>
<td>Santa Clara County Rapid Rehousing Program for Re-Entry</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$342,325</td>
</tr>
<tr>
<td>24</td>
<td>Santa Clara County Rapid Rehousing Program for Families &amp; Youth</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$1,725,340</td>
</tr>
<tr>
<td>25</td>
<td>HIMS Expansion</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>HIMS</td>
<td>$250,000</td>
</tr>
<tr>
<td>26</td>
<td>HIMS SCC</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>HIMS</td>
<td>$484,321</td>
</tr>
<tr>
<td>27</td>
<td>Santa Clara County Coordinated Entry System</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>SSD - CE</td>
<td>$130,241</td>
</tr>
<tr>
<td>28</td>
<td>Family Housing</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$468,788</td>
</tr>
</tbody>
</table>

### Tier 2 Recommended List ($18,370,993-$20,716,226)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Project</th>
<th>Applicant</th>
<th>Type</th>
<th>Grant Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>29</td>
<td>Family Housing</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$142,028</td>
</tr>
<tr>
<td>30</td>
<td>HIMS Expansion [NEW - EXPANSION]</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>HIMS</td>
<td>$250,000</td>
</tr>
<tr>
<td>31</td>
<td>Haven to Home</td>
<td>West Valley Community Services of Santa Clara County, Inc.</td>
<td>PH</td>
<td>$260,989</td>
</tr>
<tr>
<td>32</td>
<td>TH-RRH Youth [NEW]</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>$267,604</td>
</tr>
<tr>
<td>33</td>
<td>Santa Clara County Rapid Rehousing Program for Families &amp; Youth [NEW - EXPANSION]</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$417,684</td>
</tr>
<tr>
<td>34</td>
<td>Rapid Rehousing for TAY [NEW]</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$647,354</td>
</tr>
</tbody>
</table>

### New Projects Not Recommended For Funding

<table>
<thead>
<tr>
<th>Rank</th>
<th>Project</th>
<th>Applicant</th>
<th>Type</th>
<th>Amount Requested</th>
<th>Request Running Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>34</td>
<td>Rapid Re-Housing for Homeless Families</td>
<td>Midtown Family Services</td>
<td>PH</td>
<td>$627,815</td>
<td>$627,815</td>
</tr>
</tbody>
</table>
### Santa Clara County Continuum of Care

**2017 Continuum of Care Final Priority Listing**

Approved by CoC Board September 13, 2017

<table>
<thead>
<tr>
<th>Annual Renewal Demand (ARD)</th>
<th>$19,543,610</th>
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<tbody>
<tr>
<td>Permanent Housing Bonus</td>
<td>$1,172,616</td>
</tr>
<tr>
<td>Reallocation</td>
<td>$1,582,606</td>
</tr>
<tr>
<td>Planning</td>
<td>$586,308</td>
</tr>
<tr>
<td>Tier 1</td>
<td>$18,370,993</td>
</tr>
<tr>
<td>Tier 2</td>
<td>$2,345,233</td>
</tr>
<tr>
<td>Tier 1 + Tier 2 Total</td>
<td>$20,716,226</td>
</tr>
<tr>
<td>Total SCC Funding Request</td>
<td>$21,302,534</td>
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</table>

### Reallocated Projects

<table>
<thead>
<tr>
<th>Full/Partial Reallocati on</th>
<th>Project</th>
<th>Applicant</th>
<th>Type</th>
<th>Reallocated Amount</th>
<th>Reallocation Running Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full</td>
<td>Sobrato Family Living Center - Permanent Housing Project for Homeless Families</td>
<td>HomeFirst Services of Santa Clara County</td>
<td>PH</td>
<td>$29,414</td>
<td>$29,414</td>
</tr>
<tr>
<td>Full</td>
<td>Off the Streets Project for Homeless Addicted to Alcohol</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>$774,767</td>
<td>$804,181</td>
</tr>
<tr>
<td>Full</td>
<td>Navigator</td>
<td>Abode Services</td>
<td>PH</td>
<td>$644,359</td>
<td>$1,448,540</td>
</tr>
<tr>
<td>Partial</td>
<td>Our New Place</td>
<td>St. Joseph's Family Center</td>
<td>PH</td>
<td>$39,906</td>
<td>$1,488,446</td>
</tr>
<tr>
<td>Partial</td>
<td>Haven to Home</td>
<td>West Valley Community Services of Santa Clara County, Inc.</td>
<td>PH</td>
<td>$94,160</td>
<td>$1,582,606</td>
</tr>
</tbody>
</table>

### Not Ranked Per NOFA Guidelines

<table>
<thead>
<tr>
<th>Project</th>
<th>Applicant</th>
<th>Type</th>
<th>Grant Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 Planning Grant</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>Planning</td>
<td>$586,308</td>
</tr>
</tbody>
</table>
HUD CoC Program Funding in Santa Clara County

Published on: 9/14/2017 1:38 PM

One of the programs through which the US Department of Housing and Urban Development (HUD) distributes funding to Santa Clara County is the Continuum of Care (CoC) Program. This page contains information about the funding we receive locally, as well as information for the annual funding competition.

2017 HUD CoC NOFA - Priority Listing

- 2017 HUD CoC NOFA Final Priority Listing
  This priority listing, recommended by the CoC's Review and Rank Panel and Appeals Committee, was reviewed and approved by the CoC Board on September 13, 2017.

2017 HUD CoC NOFA - Local Competition Materials

- 2017 SCC CoC NOFA Timeline (PDF)
- 2017 SCC CoC NOFA Technical Assistance Handbook (PDF)
- 2017 SCC CoC NOFA Local Materials (PDF)
- 2017 SCC CoC NOFA List of Eligible Projects (PDF)
- 2017 SCC CoC NOFA Project Point Person Contact Form

2017 HUD CoC NOFA - Local Competition Supplemental Applications

- 2017 Supplemental Application Renewal Projects
- 2017 Supplemental Application First time Renewal Projects
- 2017 Supplemental Application New Coordinated Entry Project
- 2017 Supplemental Application New HMIS project

2016 HUD CoC NOFA Application

- 2016 SCC HUD CoC NOFA Consolidated Application
  This is a draft of the CoC's submission to HUD in response to the 2016 CoC Program NOFA.

- 2016 HUD CoC NOFA Priority Listing
  This priority listing will accompany our Consolidated Application.

2016 HUD CoC NOFA - Priority Listing

- 2016 SCC CoC Approved Priority Listing
  This priority listing, recommended by the CoC's Review and Rank Panel and Appeals Committee, was reviewed and approved by the CoC Board on August 29, 2016.

Report a problem with this page

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## ATTACHMENT: CoC RATING AND REVIEW PROCEDURE

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<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
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</thead>
<tbody>
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<td>2017 CoC Local Competition Review Process</td>
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</tr>
<tr>
<td>Appeals Policy and Process</td>
<td>7</td>
</tr>
<tr>
<td>Scoring Tool – Renewal Projects</td>
<td>11-19</td>
</tr>
<tr>
<td>○ 1E-1: Objective Criteria for Review, Rating, Ranking and Selection</td>
<td>12-19</td>
</tr>
<tr>
<td>○ 1E-1: Factors related to achieving positive housing outcomes</td>
<td>12-14</td>
</tr>
<tr>
<td>○ 1E-1: Specific method for evaluating projects submitted by victim service providers</td>
<td>11-12</td>
</tr>
<tr>
<td>Scoring Tool – New Housing Projects (New, Transfer, First Time Renewal/First Time Renewal After Transfer)</td>
<td>20</td>
</tr>
<tr>
<td>Scoring Tool – New Coordinated Entry Projects</td>
<td>26</td>
</tr>
<tr>
<td>Scoring Tool – New HMIS Projects</td>
<td>31</td>
</tr>
<tr>
<td>Application Materials – Renewal Applicants</td>
<td>34</td>
</tr>
<tr>
<td>Application Materials – New Housing Applicants</td>
<td>38</td>
</tr>
<tr>
<td>Application Materials – New Coordinated Entry Applicants</td>
<td>46</td>
</tr>
<tr>
<td>Application Materials – New HMIS Applicants</td>
<td>50</td>
</tr>
<tr>
<td>2017 Santa Clara County Continuum of Care Process Timeline</td>
<td>54</td>
</tr>
<tr>
<td>Public Notice and Posting Evidence</td>
<td>55-61</td>
</tr>
<tr>
<td>○ 7/18/17 – Email to CoC and SPN Listservs with Public Technical Assistance Workshop Invitation</td>
<td>55</td>
</tr>
<tr>
<td>○ Technical Assistance Workshop Agenda; Local Competition Materials, including Rating and Review Procedure, were provided to all participants</td>
<td>58</td>
</tr>
<tr>
<td>○ 8/3/17 – Email to Project Applicants, CoC Listserv, and SPN Listserv with link to and attachments of local competition materials, including Rating and Review Procedure</td>
<td>59</td>
</tr>
<tr>
<td>○ 8/3/17 – Screen Shot of 2017 HUD CoC NOFA Public Posting of Local Competition Materials, including Rating and Review Procedure</td>
<td>61</td>
</tr>
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Santa Clara County Continuum of Care

HUD CONTINUUM OF CARE PROGRAM

Technical Assistance Workshop
2017 NOFA Competition

LOCAL COMPETITION MANUAL

August 1, 2017
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<td>3</td>
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</table>
This section is intended to explain the Review and Rank Process that is used to review and evaluate all project applications submitted in the local competition.

Prior to NOFA release:

- The 2017 NOFA Committee met, reviewed and made recommendations based on feedback from FY 2016 applicants and the 2016 Review and Rank Panel Committee to modify the competition process and scoring materials.
- The Executive Committee of the CoC Board reviewed and approved the NOFA Committee’s recommended changes to the process and scoring materials, subject to necessary changes due to the NOFA.
- At least 4-5 non-conflicted Review and Rank panelists were recruited by HomeBase and the Collaborative Applicant. The panel includes at least one CoC Board member and a non-conflicted provider (ideally a provider with experience administering Federal, non-CoC grants). In addition, a Collaborative Applicant representative will attend panel meetings to act as a resource (leaving the room when a conflict requires it).
  - For purposes of Review and Rank panel participation, conflict will not extend to a substantially independent program or arm of a CoC recipient, subrecipient, or applicant organization, so long as the program is controlled by an independent board and does not receive or directly benefit from CoC funding or the potential award of a CoC grant in the 2017 competition.
- HomeBase has assembled supplemental information for the Review and Rank Committee, including HMIS performance data.
- Renewal Applicants responded to the Pre-NOFA Agency Capacity Panel request for information (RFI) by Friday, April 28th at 12:00pm.
- The Pre-NOFA Agency Capacity Review and Rank Panel met and created preliminary scores for agency capacity factors for agencies with renewal projects on Tuesday, May 16, 2017.

The Ranking and Reviewing process will proceed as follows:

- TA Workshop to release information about 2017 CoC NOFA and Local Competition open to all prospective applicants will be held on Tuesday, August 1st.
- All applicants will prepare and submit project application materials.
  - Late Applications. Applications received after the deadline will receive zero points in the scoring process. Since this may result in the project not being funded, this can be considered an appealable ranking decision.
  - Administrative Errors. Panelists shall have discretion to deduct up to 10 points from a project’s total score for administrative errors, taking into consideration factors such as the extent of the error, due diligence in resolving the error, impact on the competition, and other factors subject to panelist discretion.
• Low performing projects will be encouraged to reallocate and potential applicants are encouraged to apply for new projects through reallocation.
• Review and Rank Panel members will be oriented to the process and will receive applications, project performance data and scoring materials.
• Review and Rank Panel Committee members will review and tentatively score the applications prior to their first meeting in a HomeBase-developed web-based platform called PRESTO.
  o HomeBase/CoC staff will ensure all applications meet certain Threshold Requirements (additional detail below).
  o New housing projects, first-time renewals, transfer housing projects, and first-time renewals after transfer will be scored using the New/Transfer Scoring Tool.
  o Housing projects without a full year of data for the evaluation year will be scored using the New/Transfer Scoring Tool.
  o All other renewal housing projects will be scored using the Renewal Scoring Tool.
  o New Coordinated Entry projects will be scored using the New Coordinated Entry Scoring Tool
• Review and Rank Panel will meet over the course of 2-3 days to jointly discuss each application, conduct short in-person interview sessions with applicants to have questions answered and to provide feedback on ways to improve the application, and individually score applications:
  o Ranked list(s) will be prepared based on raw scores, then translated to a tiered list.
  o HMIS and renewal Coordinated Entry projects will be automatically ranked in Tier One, immediately above the project that straddles Tier One and Two, if any. Another mechanism will be used to evaluate HMIS and Coordinated Entry outside the CoC NOFA Review and Rank process.
  o The Panel will consider reallocating renewal projects. (See additional detail below). In the event that the Review and Rank Panel identifies a renewal project (or projects) whose funding should not be renewed (or funding should be decreased), the Panel will then determine whether any new proposed projects should be awarded and will proceed with reallocation (see detail below).
• Panel releases scoring results to applicants with reminder of appeals process.
• Appellate hearings are held, if requested. Results from appeal(s) are distributed.
• CoC Board or its designee considers and modifies/approves Priority List of Projects, which is then included in the County’s Consolidated NOFA Application.
• Projects are given feedback from Committee on quality of application and ways to improve.
• County’s Consolidated NOFA Application is made available for public review and reference.
• 2016 Process Debriefs are held with Review and Rank Panel Committee members, project applicants, and the collaborative applicant. This information will support the 2017 NOFA Committee in making recommendations for improvement for the 2017 competition.

**Reallocation**
It is possible that funds will be reallocated from projects that will not receive renewal funding, or whose funding will be reduced. This is a decision made by the Review and Rank Panel Committee after extensive deliberation. Only eligible renewal projects that have previously been renewed under the CoC Program will be considered for reallocation. When considering reallocation, the Review and Rank Panel Committee will:
• Consider unspent funds and the ability to cut grants without cutting service/housing levels.
  o Panel members will receive training about the limitations related to spending CoC funds.
  o For projects receiving leasing or rental assistance, information about unspent funds will be presented together with information about agency capacity (serving the number of people the project is designed to serve).
• Consider history of reductions (e.g., if grant reduced one year, will not be apparent in spending the following year)
• Consider specific new permanent supportive housing or rapid re-housing project(s) and specific renewal project(s) at risk of not being funded
• Consider alternative funding sources available to support either new or renewal project(s) at risk of not being funding
• Consider renewal HUD “covenant” concerns
• Consider impact on system performance and consolidated application’s score
• Consider impact on the community in light of community needs

The impact of this policy is that high scoring projects may be reallocated if these considerations warrant that decision. In addition, if a project receives less than 75 points, then the Panel should strongly consider reallocation of funding.

**Threshold**
In addition to the scoring criteria, all new and renewal projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to ensure baseline requirements are met. These threshold criteria may be found in the Scoring Factors in the sections below.

**Strategic Allocation of CoC Funding**
The CoC is committed to using Continuum of Care Program funding efficiently and strategically as a component of the community’s broader continuum of homeless housing and services, to maximize availability of high performing programs to end homelessness.
Following the Appeals Committee, the 2017 NOFA Committee will convene to review the Appeals Committee Ranked List and may make recommendations to the CoC Board regarding changes to the ranking of projects in Tier Two, excluding any project that straddles Tier 1 and Tier 2. Recommendations may address ranking only; recommendations regarding reallocation developed by the Review and Rank Panel and sustained by the Appeals Committee may not be considered or modified by the NOFA Committee after appeals are complete.

In recommending changes to the ranking of Tier Two projects, the NOFA Committee may consider the following:

- The project’s ability to continue operations by accessing alternative sources of funding that are available if HUD CoC Program funding is not awarded.
- The impact on the CoC’s bed or unit inventory and overall resources to address homelessness if a project is not awarded CoC funding. Information will be provided regarding number of beds and units, amount of grant request, operating year dates, population served, and current unit utilization rate.

HomeBase will develop a process for providing information about projects to the NOFA Committee and guidelines for participation by applicants.

Any NOFA Committee recommendations to the CoC Board must be either:

- Consensus recommendations, or
- Recommendations based on a vote of at least 60% of the NOFA Committee members in attendance, in which case the vote must be recorded and given to the CoC Board alongside the recommendation of the voting majority as well as the grounds for opposition.
  - Each organization in attendance may cast one vote; each individual in attendance not representing an organization may cast one vote.

The CoC Board or its designee will approve the final project list for submission. The decision of the CoC Board will be final.
The Review and Rank Panel Committee reviews all applications and ranks them for funding recommendations to HUD. That ranking decision will be communicated to all applicants by email by 5:00 pm on Saturday, September 2nd. All applicants are directed to contact HomeBase at sccnofa@homebaseccc.org or 415-788-7961, ext. 329, if no email notice is received.

1. **Who May Appeal**

   An agency may appeal an “appealable ranking decision,” defined in the next paragraph, made by the Review and Rank Panel concerning a project application submitted by that agency. If the project was submitted by a collaboration of agencies, only one joint appeal may be made.

2. **What May Be Appealed**

   “An appealable ranking decision” is a rank assigned by the Review and Rank Panel to a project that meets any of the following criteria:
   
   a) likely to result in the project not being funded, in whole or in part,
   b) places the project in the bottom 15% of Tier 1, or
   c) places the project in Tier 2.

3. **Timing:**

   The ranking decision is communicated to all applicants by 5:00 pm on Saturday, September 2nd. Applicants have until 12:00 pm on Tuesday, September 5th to decide if they are going to appeal and notify HomeBase (sccnofa@homebaseccc.org) for more information, with a formal written appeal (no longer than 2 pages) due by Wednesday, September 6th at 5:00 pm. If an appeal will be filed, other agencies whose rank may be affected will be notified as a courtesy. Such agencies will not be able to file an appeal after the appeals process is complete. They may file an appeal within the original appeals timeline.

4. **Initiating the Formal Appeal**

   The Formal Appeal must be submitted by 5:00 pm on Wednesday, September 6th to HomeBase at sccnofa@homebaseccc.org. The appeal document must consist of a short, written (no longer than 2 pages) statement of the agency’s appeal of the Review and Rank Panel Committee’s decision. The statement can be in the form of a letter, a memo, or an email transmittal.
5. **Members of the Appeal Panel**

A 3-member Appeals Panel will be selected from the CoC Board or its designees. These individuals have no conflict of interest in serving, as defined by the existing Review and Rank Panel Committee conflict of interest rules. Voting members of the Appeal Panel shall not serve simultaneously on the Review and Rank Panel Committee; however, a Review and Rank Panel member and a staff person of the Collaborative Applicant will participate in the Appeals Panel meeting to inform discussion.

6. **The Appeal Process, Including Involvement of Other Affected Agencies**

The Appeal Panel will conduct a telephone meeting with a representative or representatives of the agency/collaborative who filed the appeal to discuss it on Thursday, September 7th if needed. The Panel will then deliberate.

The Appeal Panel will inform appealing agencies of its decision by **Friday, September 8th at 12:00 pm**.

The CoC Board or its designee will approve the final project list for submission. The decision of the CoC Board will be final.
This timeline highlights the steps that your agency will take to participate in the local competition for NOFA funding. Please mark these dates in your calendar!

**8/1 at 1-3pm**  
**TA Workshop for all new and renewal grant recipients**  
During this session, HomeBase will review all application materials. To receive materials electronically, please email sccnofa@homebaseccc.org

**8/1**  
Enter E-SNAPS and start your project application (formerly Exhibit 2).
- E-snaps can be accessed at [http://www.hud.gov/esnaps](http://www.hud.gov/esnaps)
- Please read all HUD-published guidance and training modules before calling HomeBase for technical assistance. The training modules can be accessed at [https://www.hudexchange.info/e-snaps/guides/coc-program-competition-resources/](https://www.hudexchange.info/e-snaps/guides/coc-program-competition-resources/)

**8/14 by Noon**  
Submit Complete Application Package via email for Review and Rank
- Please see the 2017 Supplemental Application Form for a list of all the materials to submit.

**PLEASE SUBMIT THESE MATERIALS** to sccnofa@homebaseccc.org

**LATE APPLICATIONS WILL RECEIVE 0 POINTS IN THE SCORING. PLEASE PLAN AHEAD!**

**8/30 – 8/31**  
Review and Rank Interviews:
- Applicants will participate in an Interview with the Review and Rank Committee during the assigned time slots. These sessions are designed to permit the Review and Rank Committee to ask questions about your applications and to give applicants ideas about how to improve applications. You do not need to prepare a presentation; come prepared to engage in a discussion. You may bring as many people as you feel is necessary to represent your project well, but please be
sure to bring those who know the most about the application and supplemental materials.

- Applicants will be assigned a specific time to meet with the Review & Rank Panel. All appointments will be held at 3180 Newberry Drive, Suite 100, San Jose, California.

9/2 by 5pm **Applicant Notification**
- Applicants will receive email notification of the results of the Review and Rank process.
- If you receive notification that your project will be placed on the ranked list, you should begin finalizing your application for submission.

9/5 by 12pm **Notification of Appeals Due**
- Applicants who intend to appeal should contact HomeBase at sccnofa@homebaseccc.org to request scoring information.

9/6 by 5pm **Appeals Due**
- Appeals to the Review and Rank decision must be submitted in writing to HomeBase at sccnofa@homebaseccc.org.
- The Appeals Panel will meet on September 7, 2017 and any revisions to the preliminary priority list will be sent out by midnight on September 8, 2017.

9/21 by 5pm **Applications Finalized in E-Snaps**
- THIS INCLUDES ENSURING THAT ALL NECESSARY ATTACHMENTS ARE UPLOADED TO E-SNAPS. HomeBase will review every submission for omissions or inconsistencies and work with grant recipients to correct them. **During the final two weeks, please be sure that someone at your agency is available to answer last minute application questions!**

9/25 **CoC Consolidated Application Posted.**
- Complete consolidated application is posted on CoC website for public review.

9/28 **HUD deadline for all NOFA materials.**
2017 Continuum of Care Grants
RENEWAL HOUSING PROJECTS

Summary of Factors

<table>
<thead>
<tr>
<th>Threshold Requirements</th>
<th>Not Scored</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Outcomes Supporting System Performance Measures(^1)</td>
<td>55</td>
</tr>
<tr>
<td>2. Agency/Collaborative Capacity</td>
<td>20</td>
</tr>
<tr>
<td>3. HMIS Data Quality</td>
<td>25</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Component/Population-Type Prioritization Bonus Points\(^2\) Up to 17 per project

I. Threshold Requirements

<table>
<thead>
<tr>
<th>Threshold Criteria</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HMIS Implementation:</strong> Projects are required to participate in HMIS, unless the project is a victim-service agency, serving survivors of domestic violence, or a legal services agency.</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Coordinated Entry:</strong> Projects are required to participate in Coordinated Entry, when it is available for the project type.</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>HUD Threshold:</strong> All projects will be reviewed for compliance with the eligibility requirements of the CoC Interim Rule and Subsequent Notices, and must meet the threshold requirements outlined in the 2017 Notice of Funding Availability.</td>
<td>N/A</td>
</tr>
</tbody>
</table>

\(^1\) All of the scoring factors in this tool measure projects’ contribution to improving Santa Clara County’s System Performance by strengthening the overall system of care, through data collection, coordination, prioritization and increasing resources available to end homelessness in Santa Clara County. Certain scoring factors relate to specific Performance Measures, as enumerated in each factor. Projects will be scored based on data in the CoC’s HMIS, except for projects operated by victim service providers which will be scored based on data from the victim service provider’s comparable database.

\(^2\) Bonus points help ensure fairness and equal footing across scoring tools, which otherwise strongly advantage projects without data, and support prioritization of proven strong performers, while encouraging reallocation of projects not advancing system performance.
II. Detail

1. Outcomes Supporting System Performance Measures: 55 Points

Overall, has the project been performing satisfactorily and effectively addressing the need(s) for which it was designed? Keep in mind that outcomes will naturally be lower in a population with more severe needs. Such populations include persons with low or no income, current or past substance abuse, a history of victimization (e.g., domestic violence, sexual assault, childhood abuse), criminal histories, and chronic homelessness.

1A: Utilization

<table>
<thead>
<tr>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent</td>
<td>10</td>
</tr>
<tr>
<td>Very Good</td>
<td>8</td>
</tr>
<tr>
<td>Good</td>
<td>6</td>
</tr>
<tr>
<td>Fair</td>
<td>2</td>
</tr>
<tr>
<td>Poor</td>
<td>0</td>
</tr>
</tbody>
</table>

*HUD System Performance Measures 1, 3*

1B: Housing Stability (PSH Only)

<table>
<thead>
<tr>
<th>2017 PSH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;98%</td>
<td>15</td>
</tr>
<tr>
<td>96%-97.9%</td>
<td>13</td>
</tr>
<tr>
<td>94%-95.9%</td>
<td>11</td>
</tr>
<tr>
<td>92%-93.9%</td>
<td>9</td>
</tr>
<tr>
<td>90%-91.9%</td>
<td>7</td>
</tr>
<tr>
<td>85%-89.9%</td>
<td>5</td>
</tr>
<tr>
<td>80%-84.9%</td>
<td>4</td>
</tr>
<tr>
<td>75%-79.9%</td>
<td>3</td>
</tr>
<tr>
<td>67.5%-74.9%</td>
<td>2</td>
</tr>
<tr>
<td>60-67.4%</td>
<td>1</td>
</tr>
<tr>
<td>&lt;60%</td>
<td>0</td>
</tr>
</tbody>
</table>

*HUD Goal: 80%*

*Community Performance Measure: 90%*

*HUD System Performance Measures 3, 7*
### 1B: Housing Stability (RRH/TH Only)
- Calculated based on HMIS data
- Informed by supplemental information submitted as part of the proposal

#### For rapid rehousing/transitional housing:
- The percentage of homeless persons who exit the project to/in a form of permanent housing, excluding participants who passed away.
- Panelists may exercise discretion based on factors including but not limited to project size, the number of persons who exited the project, population served, and circumstances beyond the project’s sphere of influence.
- Projects with no leavers will receive full points.

<table>
<thead>
<tr>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;95%</td>
<td>&gt;90%</td>
<td>15</td>
</tr>
<tr>
<td>92.5-94.9%</td>
<td>85-89.9%</td>
<td>13</td>
</tr>
<tr>
<td>90-92.4%</td>
<td>80-84.9%</td>
<td>11</td>
</tr>
<tr>
<td>85-89.9%</td>
<td>75-79.9%</td>
<td>9</td>
</tr>
<tr>
<td>80-84.9%</td>
<td>70-74.9%</td>
<td>7</td>
</tr>
<tr>
<td>75-79.9%</td>
<td>65-69.9%</td>
<td>5</td>
</tr>
<tr>
<td>70-74.9%</td>
<td>62.5%-64.9%</td>
<td>4</td>
</tr>
<tr>
<td>65-69.9%</td>
<td>60%-62.4%</td>
<td>3</td>
</tr>
<tr>
<td>60-64.9%</td>
<td>55%-59.9%</td>
<td>2</td>
</tr>
<tr>
<td>55-59.9%</td>
<td>50%-54.9%</td>
<td>1</td>
</tr>
</tbody>
</table>

**HUD Goal:** 80%

**Community Performance Measure:**
- RRH: 85%
- TH: 75%

**HUD System Performance Measures 1, 3, 7**

| <55% | <50% | 0 |
### 1C: Returns to Homelessness Within 12 Months

**The percentage of leavers to permanent housing destinations in the year prior to the measurement period who returned to a homeless project in HMIS within 12 months.**

- Panelists may exercise discretion based on factors including but not limited to project size, household size, and the number of persons who exited the project in the prior year.
- Projects with no leavers in the prior year and projects without at least 2 years of performance data will receive full points.

**Community Performance Measure:**
- PSH: 2%
- RRH: 2%
- TH: 6%

**HUD System Performance Measure 2**

<table>
<thead>
<tr>
<th>Percentage</th>
<th>PSH Scale</th>
<th>RRH Scale</th>
<th>Youth TH Scale</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;10%</td>
<td>&lt;10%</td>
<td>&lt;15%</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>10-29.9%</td>
<td>10-29.9%</td>
<td>15-34.9%</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>30-39.9%</td>
<td>30-39.9%</td>
<td>35-44.9%</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>40-59.9%</td>
<td>40-49.9%</td>
<td>45-54.9%</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>60-70%</td>
<td>50-60%</td>
<td>55-70%</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

### 1D: Client Cash Income Change

Panelists may score programs up or down one point from the scaled score below.

**The percentage of stayers/leavers that increase cash income from entry to latest status/exit**

**HUD Goal (Employment): 20%**

**HUD Goal (Non-Employment): 54%**

**No Related Community Performance Measure**

**HUD System Performance Measure 4**

<table>
<thead>
<tr>
<th>Percentage</th>
<th>PSH Scale</th>
<th>RRH Scale</th>
<th>Youth TH Scale</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;61.5%</td>
<td>&gt;61.5%</td>
<td>&gt;61.5%</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>54-61.4%</td>
<td>54-61.4%</td>
<td>54-61.4%</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>49-53.9%</td>
<td>49-53.9%</td>
<td>49-53.9%</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>44-48.9%</td>
<td>44-48.9%</td>
<td>44-48.9%</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>&lt;44%</td>
<td>&lt;44%</td>
<td>&lt;44%</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>
1E: Non-Cash Mainstream Benefits

Panelists may score programs up or down one point from the scaled score below.

<table>
<thead>
<tr>
<th></th>
<th>2017 PSH Scale</th>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>The percentage of Stayers/Leavers with non-cash benefit sources.</td>
<td>&gt;90%</td>
<td>&gt;61%</td>
<td>&gt;71%</td>
<td>5</td>
</tr>
<tr>
<td>HUD Goal: 54%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CoC Goal: 54%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No Related Community Performance Measure</td>
<td>75-79.9%</td>
<td>46-50.9%</td>
<td>56-60.9%</td>
<td>2</td>
</tr>
<tr>
<td>HUD System Performance Measure 2, 7b</td>
<td>70-74.9%</td>
<td>41-45.9%</td>
<td>51-55.9%</td>
<td>1</td>
</tr>
<tr>
<td>&lt;70%</td>
<td>&lt;41%</td>
<td>&lt;51%</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

1F: Alignment with Housing First Principles

- This will be scored based on written policies and procedures submitted by the project and a narrative response demonstrating alignment with Housing First principles.

5 Points: To what extent do the project’s written policies ensure that participants are not screened out based on the following criteria?

- Having too little or no income
- Active, or history of, substance use or a substance use disorder
- Having a criminal record (with exceptions for state-mandated restrictions)
- History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement)

5 Points: To what extent do the project’s written policies ensure that participants are not terminated from the program for the following reasons?

- Failure to participate in supportive services
- Failure to make progress on a service plan
- Loss of income or failure to improve income
- Being a survivor of domestic violence
- Any other activity not covered in a lease agreement typically found in the project’s geographic area

5 Points: Does the project take proactive steps to minimize barriers to entry and retention?

HUD System Performance Measures 1, 3, 7
2. **Agency/Collaborative Capacity: 20 Points**

### 2A: Compliance

<table>
<thead>
<tr>
<th>To what extent do the agencies (especially the lead agency)/does the agency have:</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Any outstanding financial audit findings or concerns?</td>
<td>5</td>
</tr>
<tr>
<td>• Any outstanding HUD monitoring findings or concerns and/or any history of sanctions imposed by HUD, including – but not limited to – suspending disbursements (e.g., freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues?</td>
<td></td>
</tr>
<tr>
<td>• If yes, what steps is the agency taking to resolve the findings or concerns and to what extent has the program advised the Collaborative Applicant of issues identified by HUD?</td>
<td></td>
</tr>
</tbody>
</table>

If an agency has no outstanding audit or monitoring findings or concerns and no history of sanctions imposed by HUD, the agency should receive full points.

### 2B: Unspent Grant Funds

Panelists may score programs up or down one point from the scaled score below.

<table>
<thead>
<tr>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-3%</td>
<td>5</td>
</tr>
<tr>
<td>3.1-9%</td>
<td>3</td>
</tr>
<tr>
<td>9.1-15%</td>
<td>1</td>
</tr>
<tr>
<td>15-100%</td>
<td>0</td>
</tr>
</tbody>
</table>

- **Has the agency left project grant funds unspent in the past 3 years?**
- **Consider if the program is running at capacity (at four points during the year), and if the project receives leasing or rental assistance.**
### 2C: Alignment with CoC Priorities

- Agencies can submit an essay answer demonstrating CoC alignment.

<table>
<thead>
<tr>
<th>Does the project and agency align and support CoC priorities, including but not limited to:</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>- CoC participation (meeting attendance)</td>
<td></td>
</tr>
<tr>
<td>- Services provided or described are adequate to meet the needs of the population served, as indicated by:</td>
<td>10</td>
</tr>
<tr>
<td>o Case manager to client ratio</td>
<td></td>
</tr>
<tr>
<td>o The type of services provided (substance use treatment, trauma informed care, youth-targeted programming, etc)</td>
<td></td>
</tr>
<tr>
<td>- The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example:</td>
<td></td>
</tr>
<tr>
<td>o Project employs landlord engagement strategies</td>
<td></td>
</tr>
<tr>
<td>o Project proposes to increase the number of persons served</td>
<td></td>
</tr>
<tr>
<td>o Contribution of project to improving system performance</td>
<td></td>
</tr>
<tr>
<td>o Project has or participates in a move on program or strategy</td>
<td></td>
</tr>
<tr>
<td>- The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population</td>
<td></td>
</tr>
<tr>
<td>- Sources of match funding are stable and sustainable</td>
<td></td>
</tr>
</tbody>
</table>

### 3. HMIS Data Quality: 25 Points

#### 3A: Exits to Known Destinations

The numerical scale is a guide to support the panelists in scoring; panelists can exercise discretion where, for example, there are very few project exits.

<table>
<thead>
<tr>
<th>Percentage of clients who exit to known destinations.</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Excellent</strong> (~95-100%)</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td><strong>Very Good</strong> (~90-94.9%)</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td><strong>Good</strong> (~80-89.9%)</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td><strong>Fair</strong> (~60-79.9%)</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td><strong>Poor</strong> (~40-59.9%)</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td><strong>Very Poor</strong> (~&lt;40%)</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**PSH with 0 exits will receive full points.**
### 3B: Complete Data
Panelists may score programs up or down one point from the scaled score below.

<table>
<thead>
<tr>
<th>Percentage of complete data (not null/missing, “don’t know” or “refused” data), except for Social Security numbers.</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>99.5-100%</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>97-99.4%</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>94.5-96.9%</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>92-94.4%</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>90.1-91.9%</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>&lt;90%</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

Community goal: 95%

---

### 3C: Known Income
The numerical scale is a guide to support the panelists in scoring; panelists can exercise discretion where, for example, a project serves a very small number of people.

<table>
<thead>
<tr>
<th>Percentage of adult clients with known income at latest status or exit:</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent (~ 95-100%)</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Very Good (~90-94.9%)</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Good (~80-89.9%)</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Fair (~60-79.9%)</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Poor (~40-59.9%)</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Very Poor (~&lt;40%)</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**PSH with 0 exits will receive full points.**
### 3D: Known Benefits

The numerical scale is a guide to support the panelists in scoring; panelists can exercise discretion where, for example, a project serves a very small number of people.

<table>
<thead>
<tr>
<th>Percentage of adult clients with known benefits at latest status or exit.</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Excellent (≥ 95-100%)</strong></td>
<td></td>
<td>5</td>
</tr>
<tr>
<td><strong>Very Good (≥ 90-94.9%)</strong></td>
<td></td>
<td>4</td>
</tr>
<tr>
<td><strong>Good (≥ 80-89.9%)</strong></td>
<td></td>
<td>3</td>
</tr>
<tr>
<td><strong>Fair (≥ 60-79.9%)</strong></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td><strong>Poor (≥ 40-59.9%)</strong></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td><strong>Very Poor (≥&lt;40%)</strong></td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

**PSH with 0 exits will receive full points.**

### 4. Component/Population Type Prioritization: Up to 17 Bonus Points

**4A: Permanent Housing**

Permanent supportive housing will be awarded 10 bonus points to demonstrate the CoC’s funding priorities.

Rapid rehousing projects will be awarded 5 bonus points to demonstrate the CoC’s funding priorities.

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
</tr>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

**4B: Chronic Homelessness**

Percentage of beds dedicated to/prioritized for chronically homeless persons.

**DedicatedPLUS PSH projects will receive full points.**

<table>
<thead>
<tr>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>100%</td>
<td>5</td>
</tr>
<tr>
<td>&gt;75%</td>
<td>3</td>
</tr>
</tbody>
</table>

**4C: Other Priority Populations**

Is the program dedicated to a priority population?

- Youth
- Survivors of Domestic Violence
- Families with Children
- Veterans

**Shaded Factors are scored by the Pre-NOFA Panel**
2017 Continuum of Care Grants
NEW/TRANSFER AND FIRST TIME RENEWAL HOUSING PROJECTS

<table>
<thead>
<tr>
<th>Summary of Factors</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Threshold Requirements</td>
<td>Not Scored</td>
</tr>
<tr>
<td>1. Project's Work Consistent with Community Needs</td>
<td>25</td>
</tr>
<tr>
<td>2. Project Ability to Enhance System Performance³</td>
<td>40</td>
</tr>
<tr>
<td>3. Agency/Collaborative Capacity to Enhance System Performance</td>
<td>25</td>
</tr>
<tr>
<td>4. HMIS Participation</td>
<td>10</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
</tr>
<tr>
<td>5. Component/Population-Type Prioritization Bonus Points⁴</td>
<td>Up to 10 Per Project</td>
</tr>
</tbody>
</table>

I. **Threshold Requirements**

<table>
<thead>
<tr>
<th>Threshold Criteria</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• These factors are required, but not scored. If the project indicates “no”</td>
<td></td>
</tr>
<tr>
<td>for any threshold criteria, it is ineligible for CoC funding.</td>
<td></td>
</tr>
<tr>
<td><strong>HMIS Implementation</strong>: Projects are required to participate in HMIS, unless the</td>
<td>N/A</td>
</tr>
<tr>
<td>project is a victim-service agency, serving survivors of domestic violence, or a</td>
<td></td>
</tr>
<tr>
<td>legal services agency.</td>
<td></td>
</tr>
<tr>
<td><strong>Coordinated Entry</strong>: Projects are required to participate in Coordinated Entry,</td>
<td>N/A</td>
</tr>
<tr>
<td>when it is available for the project type.</td>
<td></td>
</tr>
<tr>
<td><strong>Eligible Applicant</strong>: Applicants and subrecipients (if any) are eligible to receive</td>
<td>N/A</td>
</tr>
<tr>
<td>CoC funding, including: non-profit organizations, States, local governments,</td>
<td></td>
</tr>
<tr>
<td>and instrumentalities of state and local governments.</td>
<td></td>
</tr>
<tr>
<td><strong>Eligible New Project Type</strong>: If the project is a new project in 2017, it is an</td>
<td>N/A</td>
</tr>
<tr>
<td>eligible new project type authorized by the FY 2017 CoC Program NOFA: Permanent</td>
<td></td>
</tr>
<tr>
<td>Supportive Housing (PSH), Rapid Re-Housing (RRH), or joint</td>
<td></td>
</tr>
<tr>
<td>Transitional Housing-Rapid Re-Housing (TH-RRH) serving eligible populations;</td>
<td></td>
</tr>
<tr>
<td>Homeless Management Information System (HMIS); or Supportive Services Only for</td>
<td></td>
</tr>
<tr>
<td>Coordinated Entry (CE).</td>
<td></td>
</tr>
</tbody>
</table>

³ All of the scoring factors in this tool measure projects' anticipated contribution to improving Santa Clara County’s System Performance by strengthening the overall system of care, through data collection, coordination, prioritization and increasing resources available to end homelessness in Santa Clara County. Certain scoring factors relate to specific Performance Measures, as enumerated in each factor.

⁴ Bonus points help ensure fairness and equal footing across scoring tools, which otherwise strongly advantage projects without data, and support prioritization of proven strong performers, while encouraging reallocation of projects not advancing system performance.
### HUD Threshold

**All projects will be reviewed for compliance with the eligibility requirements of the CoC Interim Rule and Subsequent Notices, and must meet the threshold requirements outlined in the 2017 Notice of Funding Availability.**

<table>
<thead>
<tr>
<th>HUD Threshold:</th>
<th>N/A</th>
</tr>
</thead>
</table>

## II. Detail

1. **Project’s Work Consistent with Community Needs: 25 Points**

   1A: **Renewable Activities**
   - Extent to which the project utilizes the grant funds for renewable activities (e.g., leasing rental subsidies, and housing operations) as opposed to non-renewable funds (e.g., acquisition, construction, and rehabilitation).
   - **2017 Points:** 10

   1B: **Unmet Need**
   - Extent to which the project addresses an unmet need by serving an underserved area of the County, including areas outside downtown San Jose.
   - **2017 Points:** 10

   1C: **Project Readiness**
   - The project will be ready to start by HUD’s statutory deadlines. Consider:
     - Regulatory obstacles such as tenant displacement or relocation, environmental or zoning issues anticipated.
   - **2017 Points:** 5

2. **Project Ability to Enhance System Performance: 40 Points**

   Consider the overall design of the project in light of its outcome objectives, and the Continuum of Care’s goal that permanent housing programs for homeless people result in stable housing and increased income (through benefits or employment).

   2A: **Population Served**
   - Population to be served is well defined and eligible, and will prioritize serving project participants with the highest need.
     - For TH-RRH projects, target population is a priority population for this project type -- Transition Aged Youth (TAY), households fleeing or attempting to flee domestic violence or human trafficking.
   - **2017 Points:** 5

   *HUD System Performance Measures 1, 7*
<table>
<thead>
<tr>
<th>2B: Program Design</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program design includes provision of comprehensive/intensive case management and appropriate supportive services of the appropriate type, scale and location to meet the needs of program participants (as well as transportation if necessary), using a Housing First model. Consider:</td>
<td></td>
</tr>
<tr>
<td>• Is the project staffed appropriately to provide the services?</td>
<td></td>
</tr>
<tr>
<td>• Is the staff trained to meet the needs of the population to be served?</td>
<td></td>
</tr>
<tr>
<td>• Does the program include involvement of clientele in designing and operating a low barrier program?</td>
<td></td>
</tr>
<tr>
<td>• Is the program design intentionally inclusive of and accessible to all eligible clients?</td>
<td></td>
</tr>
<tr>
<td>• Are links to other services described?</td>
<td></td>
</tr>
<tr>
<td>• Does the project use evidence-based practices?</td>
<td></td>
</tr>
<tr>
<td>HUD System Performance Measures 2, 3, 7b</td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2C: Program Outcomes</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program outcomes are realistic but sufficiently challenging given the scale of the project. Outcomes are measurable and appropriate to the population being served. Minimum project outcomes should include:</td>
<td></td>
</tr>
<tr>
<td>• The percentage of formerly homeless individuals who remain housed in the HUD permanent housing project at the end of the operating year or exited to other permanent housing is at least 90%.</td>
<td></td>
</tr>
<tr>
<td>• The percentage of leavers that increase employment income from entry to exit is at least 20% for PSH and 38% for RRH.</td>
<td></td>
</tr>
<tr>
<td>• The percentage of leavers that increase non-employment income from entry to exit is at least 54%.</td>
<td></td>
</tr>
<tr>
<td>• The percent of adult leavers and stayers in all CoC-funded projects that have non-cash mainstream benefits is at least 80% for PSH and 51% for RRH.</td>
<td></td>
</tr>
<tr>
<td>HUD System Performance Measures 2, 3, 4, 7b</td>
<td>5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2D: Housing</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing where participants will reside is fully described and appropriate to the program design proposed. Consider:</td>
<td></td>
</tr>
<tr>
<td>• Is the project staffed appropriately to operate the housing?</td>
<td></td>
</tr>
<tr>
<td>• Is the staff trained to meet the needs of the population to be served?</td>
<td></td>
</tr>
<tr>
<td>• Will the program be physically accessible to persons with disabilities?</td>
<td></td>
</tr>
<tr>
<td>HUD System Performance Measures 2, 3, 7b</td>
<td>5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2E: Policies and Procedures</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program policies and procedures are fully described and consistent with the program design proposed. Consider:</td>
<td></td>
</tr>
<tr>
<td>• Are unhoused or formerly unhoused people involved in designing the</td>
<td>5</td>
</tr>
</tbody>
</table>
program?
- Are tenants involved in policy decisions related to the program and in operating the program?
- Do policies and procedures ensure homeless clients will be individually assisted to pursue mainstream benefits?
- Do policies and procedures actively reduce barriers to access and retention?

_HUD System Performance Measures 2, 3, 4, 7_

<table>
<thead>
<tr>
<th>2F: Alignment with Housing First Principles</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>- This will be scored based on written policies and procedures submitted by the project and responses to supplemental questions.</td>
<td>- 10</td>
</tr>
</tbody>
</table>

**5 Points:** To what extent do the project’s written policies ensure that participants are not screened out based on the following criteria?
- Having too little or no income
- Active, or history of, substance use or a substance use disorder
- Having a criminal record (with exceptions for state-mandated restrictions)
- History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement)

**5 Points:** To what extent do the project’s written policies ensure that participants are not terminated from the program for the following reasons?
- Failure to participate in supportive services
- Failure to make progress on a service plan
- Loss of income or failure to improve income
- Being a survivor of domestic violence
- Any other activity not covered in a lease agreement typically found in the project’s geographic area

_HUD System Performance Measures 1, 3, 7_
3. **Agency/Collaborative Capacity to Enhance System Performance: 25 Points**

### 3A: Administrative Capacity

| Do the agencies (especially the lead agency)/does the agency have the | 2017 Points |
| expertise, staff, procedural, and administrative structure needed to meet all administrative requirements? Consider: |
| • Does/will the agency have HEARTH-required policies and procedures in place? (Agencies to complete checklist as part of materials) |
| • Does the agency have a staffing plan that covers both grant management and performance of grant activities? |

### 3B: Compliance

| To what extent do the agencies (especially the lead agency)/does the agency have: |
| Any outstanding financial audit findings or concerns? |
| Any outstanding HUD monitoring findings or concerns and/or any history of sanctions imposed by HUD, including – but not limited to – suspending disbursements (e.g., freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues? |
| If yes, what steps is the agency taking to resolve the findings or concerns and to what extent has the program advised the Collaborative Applicant of issues identified by HUD? |

If an agency has no outstanding audit or monitoring findings or concerns and no history of sanctions imposed by HUD, the agency should receive full points.

### 3C: Alignment with CoC Priorities

| Agencies can submit an essay answer demonstrating CoC alignment. | 2017 Points |
| Does the project and agency align and support CoC priorities, including but not limited to: |
| • CoC participation (meeting attendance) |
| • Services provided or described are adequate to meet the needs of the population served, as indicated by: |
| o Case manager to client ratio |
| o The type of services provided (substance use treatment, trauma informed care, youth-targeted programming, etc) |
| • The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example: |
| o Project employs landlord engagement strategies |
| o Project proposes to increase the number of persons served |
| o Contribution of project to improving system performance |
| o Project has a move on program or strategy |
| • The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population |
| • Sources of match funding are stable and sustainable |
4. **HMIS Participation: 10 Points**

- Does the application indicate clearly that the agency intends to participate in HMIS in the event that the project is funded? Projects prohibited by law from using HMIS will receive points based on use of a parallel database.
- If the agency has other programs, do they demonstrate HMIS participation? Consider:
  - Percentage of null/missing, “don’t know,” or “refused” data
  - The percentage of clients that exit to known destinations
  - The percentage of clients with known income and benefits

5. **Component/Population-Type Prioritization: Up to 10 Bonus Points for held-harmless transfer projects and those identified as priority new projects in FY 2016 or 2017**

<table>
<thead>
<tr>
<th>5A: Permanent Supportive Housing</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permanent supportive housing serving chronically homeless individuals and families will be awarded bonus points to demonstrate the CoC’s funding priorities.</td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5B: Rapid Rehousing</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rapid rehousing projects serving high priority populations (such as families and transition-aged youth coming directly from streets, shelter, or other places not meant for human habitation, or persons fleeing domestic violence or trafficking) will be awarded bonus points to demonstrate the CoC’s funding priorities. These points will not be awarded to joint TH-RRH projects.</td>
<td>5</td>
</tr>
</tbody>
</table>

**Shaded Factors are scored by the Pre-NOFA Panel**
SCORING TOOL FOR NEW COORDINATED ENTRY PROJECTS

2017 Continuum of Care Grants
NEW COORDINATED ENTRY PROJECTS

Summary of Factors

<table>
<thead>
<tr>
<th>Factor</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Threshold Requirements</td>
<td>Not Scored</td>
</tr>
<tr>
<td>1. Project’s Work Consistent with Community Needs</td>
<td>20</td>
</tr>
<tr>
<td>2. Project Ability to Enhance System Performance</td>
<td>55</td>
</tr>
<tr>
<td>3. Agency/Collaborative Capacity to Enhance System Performance</td>
<td>25</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
</tr>
</tbody>
</table>

I. Threshold Requirements

<table>
<thead>
<tr>
<th>Threshold Criteria</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• These factors are required, but not scored. If the project indicates &quot;no&quot; for any threshold criteria, it is ineligible for CoC funding.</td>
<td></td>
</tr>
<tr>
<td>Eligible Applicant: Applicants and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.</td>
<td>N/A</td>
</tr>
<tr>
<td>Eligible New Project Type: If the project is a new project in 2017, it is either:</td>
<td>N/A</td>
</tr>
<tr>
<td>• Permanent supportive housing, serving primarily chronically homeless individuals and families (including youth);</td>
<td></td>
</tr>
<tr>
<td>• Rapid rehousing, serving individuals and families (including youth) who enter directly from streets or shelters, are fleeing domestic violence, or otherwise meet the criteria of paragraph (4) of the definition of homelessness;</td>
<td></td>
</tr>
<tr>
<td>• Joint component types, which will combine transitional housing and rapid rehousing into a single project to serve individuals and families experiencing homelessness;</td>
<td></td>
</tr>
<tr>
<td>• Supportive services only projects for coordinated assessment systems (reallocation only); or</td>
<td></td>
</tr>
<tr>
<td>• Homeless Management Information System (HMIS) projects (reallocation only).</td>
<td></td>
</tr>
</tbody>
</table>

II. Detail

1. Project’s Work Consistent with Community Needs: 20 Points

1A: Renewable Activities

<table>
<thead>
<tr>
<th>Factor</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extent to which the project utilizes the grant funds for renewable activities (e.g., leasing rental subsidies, and housing operations) as opposed to non-renewable funds (e.g., acquisition, construction, and rehabilitation).</td>
<td>5</td>
</tr>
</tbody>
</table>
### 1B: Unmet Need

<table>
<thead>
<tr>
<th>Extent to which the project addresses an unmet need by serving an underserved area of the County, including areas outside downtown San Jose.</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

### 1C: Project Readiness

<table>
<thead>
<tr>
<th>The project will be ready to start by HUD’s statutory deadlines. Consider:</th>
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</thead>
<tbody>
<tr>
<td>• Regulatory obstacles such as tenant displacement or relocation, environmental or zoning issues anticipated.</td>
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</tr>
</tbody>
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### 2. Project Ability to Enhance System Performance 50: Points

Consider the overall design of the project in light of its outcome objectives, and the Continuum of Care’s goal that services for homeless people result in stable housing and resources be prioritized for households with the highest needs.

### 2A: Population Served

<table>
<thead>
<tr>
<th>Population to be served is well defined and eligible, and will prioritize serving project participants with the highest need.</th>
<th>2017 Points</th>
</tr>
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<tbody>
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<td></td>
<td>5</td>
</tr>
</tbody>
</table>

### 2B: Program Design

<table>
<thead>
<tr>
<th>Program design sets forth the community’s approach to coordinated entry including how outreach, access, assessment, and referrals will be conducted and how community partners will be involved. Consider:</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Does the design reflect an effective approach to outreach, access, assessment and referrals?</td>
<td>10</td>
</tr>
<tr>
<td>• How will community partners be involved in coordinated entry?</td>
<td></td>
</tr>
<tr>
<td>• How will other funds be leveraged to support CoC program funds during implementation and operation?</td>
<td></td>
</tr>
<tr>
<td>• Is the project staffed appropriately to achieve its goals?</td>
<td></td>
</tr>
<tr>
<td>• Does the program include involvement of clientele in designing and operating a low barrier system?</td>
<td></td>
</tr>
<tr>
<td>• Is the program design intentionally inclusive of and accessible to all eligible clients?</td>
<td></td>
</tr>
<tr>
<td>• Does the project use evidence-based practices?</td>
<td></td>
</tr>
</tbody>
</table>

### 2C: Program Outcomes

<table>
<thead>
<tr>
<th>Does the estimated schedule for proposed activities, management, and methods proposed assure effective and timely completion of the proposed project? Consider:</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Are outcomes realistic but sufficiently challenging given the scale of the project?</td>
<td>5</td>
</tr>
<tr>
<td>• Are outcomes measurable and appropriate to the population being served?</td>
<td></td>
</tr>
<tr>
<td>• How will full capacity be achieved over the grant term?</td>
<td></td>
</tr>
</tbody>
</table>
### 2D: Geographic Area

| Will the proposed coordinated entry project cover the CoC’s entire geographic area? | 5 |

### 2E: Policies and Procedures

| Program policies and procedures are fully described and consistent with the program design proposed. Consider:  
• How will the coordinated entry be easily accessible to individuals and families with the highest barriers to access?  
• How will the coordinated entry include affirmative fair housing strategies? | 10 |

### 2F: Advertisement Strategy

| Is the advertisement strategy for coordinated entry designed to reach those with the highest barriers to accessing assistance, including persons with disabilities and persons with limited English proficiency? | 5 |

### 2G: Standardized Assessment

| Is the standardized assessment process that will be used by coordinated entry comprehensive according to the housing and services available in the community and standardized in structure, delivery, and evaluation across all assessments conducted using coordinated entry?  
Note: Exceptions to standardization can be made for the following subpopulations: individuals, households with children, youth, and persons fleeing domestic violence. | 5 |

### 2H: Referral Process

| Does the coordinated entry process ensure participants are directed to appropriate housing and/or services? Consider:  
• Will the referral process for homelessness resources be coordinated across CoC and ESG providers?  
• Will the process include a list of all available resources and uniform decision making?  
• How will the process include program participant choice?  
• Will there be a process to reconcile unsuccessful or rejected placements? | 5 |
## 2I: Housing First

<table>
<thead>
<tr>
<th>Will the coordinated entry use a low barrier approach that does not screen out participants based on the following criteria:</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Having little or no income</td>
<td>5</td>
</tr>
<tr>
<td>• Active, or history of, substance abuse</td>
<td></td>
</tr>
<tr>
<td>• Having a criminal record (exceptions for state-mandated restrictions)</td>
<td></td>
</tr>
<tr>
<td>• History of experiencing domestic violence (e.g., lack of protective order)</td>
<td></td>
</tr>
</tbody>
</table>

## 3. Agency/Collaborative Capacity to Enhance System Performance: 25 Points

### 3A: Administrative Capacity

<table>
<thead>
<tr>
<th>Do the agencies (especially the lead agency)/does the agency have the expertise, staff, procedural, and administrative structure needed to meet all administrative requirements? Consider:</th>
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<tr>
<td>• Does/will the agency have HEARTH-required policies and procedures in place? (Agencies to complete checklist as part of materials)</td>
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<td>• Does the agency have a staffing plan that covers both grant management and performance of grant activities?</td>
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### 3B: Compliance

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<tr>
<th>To what extent do the agencies (especially the lead agency)/does the agency have:</th>
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If an agency has no outstanding audit or monitoring findings or concerns and no history of sanctions imposed by HUD, the agency should receive full points.
### 3C: Alignment with CoC Priorities

- Agencies can submit an essay answer demonstrating CoC alignment.

<table>
<thead>
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<tr>
<th>Does the project and agency align and support CoC priorities, including but not limited to:</th>
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**Shaded Factors are scored by the Pre-NOFA Agency Capacity Panel.**
## 2017 Continuum of Care Grants
### NEW HMIS PROJECTS

<table>
<thead>
<tr>
<th>Summary of Factors</th>
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<tbody>
<tr>
<td><strong>Threshold Requirements</strong></td>
<td>Not Scored</td>
</tr>
<tr>
<td>1. Project’s Work Consistent with Community Needs</td>
<td>20</td>
</tr>
<tr>
<td>2. Project Ability to Enhance System Performance</td>
<td>55</td>
</tr>
<tr>
<td>3. Agency/Collaborative Capacity to Enhance System Performance</td>
<td>25</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

### I. Threshold Requirements

**Threshold Criteria**
- These factors are required, but not scored. If the project indicates “no” for any threshold criteria, it is ineligible for CoC funding.

**Eligible Applicant:** Applicants and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

**Eligible New Project Type:** If the project is a new project in 2017, it is either:
- Permanent supportive housing, serving primarily chronically homeless individuals and families (including youth);
- Rapid rehousing, serving individuals and families (including youth) who enter directly from streets or shelters, are fleeing domestic violence, or otherwise meet the criteria of paragraph (4) of the definition of homelessness;
- Joint component types, which will combine transitional housing and rapid rehousing into a single project to serve individuals and families experiencing homelessness;
- Supportive services only projects for coordinated assessment systems (relocation only); or
- Homeless Management Information System (HMIS) projects (relocation only).

### II. Detail

#### 4. Project’s Work Consistent with Community Needs: 20 Points

<table>
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<tr>
<th>1A: Renewable Activities</th>
<th>2017 Points</th>
</tr>
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<tbody>
<tr>
<td>Extent to which the project utilizes the grant funds for renewable activities (e.g., leasing rental subsidies, and housing operations) as opposed to non-renewable funds (e.g., acquisition, construction, and rehabilitation).</td>
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## 1B: Unmet Need

Extent to which the project addresses an unmet need by serving an underserved area of the County, including areas outside downtown San Jose.

**2017 Points**: 10

## 1C: Project Readiness

The project will be ready to start by HUD’s statutory deadlines. Consider:
- Regulatory obstacles such as tenant displacement or relocation, environmental or zoning issues anticipated.

**2017 Points**: 5

## 5. Project Ability to Enhance System Performance: 55 Points

Consider the overall design of the project in light of its outcome objectives, and the Continuum of Care’s goal that services for homeless people result in stable housing and resources be prioritized for households with the highest needs.

## 2A: Design

Consider:
- Will the project increase HMIS capacity and functionality?
- Has the agency indicated its intent to improve agency and CoC access to data in a form that can be analyzed and assist the Continuum of Care in assessing homeless needs, allocating resources, and coordinating services?

**2017 Points**: 15

## 2B: Data Quality

Consider:
- Has the agency indicated that the Data Quality for the system will be within an acceptable range?
- Will the reports produced for the Continuum of Care and for HUD be useful and satisfactory to meet the requirements for the CoC obligations (AHAR, PIT, HIC, APR, CAPER, etc.)?
- Does the HMIS collect all Universal Data Elements as set forth in the HMIS Data Standards?
- Does the HMIS un-duplicate client records?

**2017 Points**: 20

## 2C: Training and Support

Has the agency indicated its intent to conduct trainings and otherwise assist projects to move into compliance with HUD HMIS Data Standards?

**2017 Points**: 10

## 2D: Managing Confidential and Critical Data

Has the agency demonstrated, through past performance, the ability to manage confidential and critical data?

**2017 Points**: 10
## 6. Agency/Collaborative Capacity: 25 Points

### 3A: Administrative Capacity

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### 3C: Alignment with CoC Priorities

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**Shaded Factors are scored by the Pre-NOFA Agency Capacity Panel.**
This form and the requested attachments are due on August 14, 2017 by 12:00 p.m. (Noon) to HomeBase via email. Please send documents in PDF format to sccnofa@homebaseccc.org

LATE APPLICATIONS MAY BE CONSIDERED WHEN SCORING AGENCY CAPACITY.

<table>
<thead>
<tr>
<th>Applicant(s) Name(s):</th>
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<table>
<thead>
<tr>
<th>Project Name:</th>
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<table>
<thead>
<tr>
<th>Person to contact concerning this application:</th>
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<table>
<thead>
<tr>
<th>Phone:</th>
<th>Email:</th>
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<table>
<thead>
<tr>
<th>Total grant amount requested:</th>
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</table>

Please submit the following:

1. The documents requested by the Documentation Checklist for each project or agency (separate PDF for each document)

2. The appropriate Supplemental Application and accompanying responses for each project – either:
   - Supplemental Application for Renewal Projects,
   - Supplemental Application for New/Transfer/First-Time-Renewal Projects,
   - Supplemental Application for New Coordinated Entry Projects, OR
   - Supplemental Application for New HMIS Projects.

All written narrative responses should be within the page limitations specified, single spaced in 11-point font, with 1” margins.
DOCUMENTATION CHECKLIST

All applicants - please submit electronic copies via email of the following documents (separate PDF for each document):

FOR EACH PROJECT:

☐ The Supplemental Application Cover Sheet and Documentation Checklist (this form)

☐ The appropriate “Renewal Project,” “New/Transfer/First-Time-Renewal Project,” “New Coordinated Entry Project,” or “New HMIS Project” Supplemental Application Form

☐ The full project application (formerly known as “Exhibit 2”) from e-snaps

➢ IMPORTANT NOTE: Please DO NOT hit submit in e-snaps until after the local competition

FOR EACH AGENCY:

☐ Any HUD Monitoring Letters relating to any of your agency’s projects and correspondence about any findings or concerns (if not already submitted on or around April 28, 2017)

☐ Your agency’s most recent financial audit and management letter or an explanation regarding why there has not been an audit (if not already submitted on or around April 28, 2017)

FOR RENEWAL PROJECTS AND TRANSFER PROJECTS SUBMITTING THE “NEW/TRANSFER/FIRST-TIME – RENEWAL PROJECT” SUPPLEMENTAL APPLICATION:

☐ The program’s most recent Annual Performance Report (APR) submitted to HUD, if any

FOR NEW PROJECTS:

☐ Written policies and procedures that will apply to the program and which demonstrate Housing First alignment, as described within Factor 2F
2017 Continuum of Care Grants
Supplemental Application
RENEWAL APPLICANTS*

*PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA

- Second time renewal OR
- Second time renewal after transfer, with a complete year of data for calendar year 2016

All other housing projects, please use the application for “NEW/TRANSFER/FIRST-TIME-RENEWAL” projects.

THRESHOLD REQUIREMENTS

In addition to the scoring criteria, all renewal projects must meet threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. In order to be scored in the 2017 competition, all renewal projects must meet the following thresholds. Please check a box in each category to confirm the truth of the following:

HMIS Implementation

☐ Project has full and active HMIS participation (unless the project is a victim service provider prohibited from entering client-level data in HMIS), meaning:
  - Every HMIS user of the project has passed the annual HMIS recertification exam; and
  - The project’s data quality report card score is at least a C, unless the project is a victim services agency. This factor may be verified by the HMIS Lead.

OR

☐ If the project is a victim service provider prohibited from entering client-level data in HMIS, the project uses a comparable database system.

Coordinated Entry Participation

☐ Project is already participating in Coordinated Entry.

OR

☐ Project agrees to participate in Coordinated Entry when it is available for the project type.

HUD Threshold

☐ Project complies with eligibility requirements of the CoC Interim Rule and Subsequent Notices, and meets the threshold requirements outlined in the 2017 Notice of Funding Availability (pp. 29-37).

If you are unable to check one of the boxes above, please provide an explanation. (1-page limit)
SUPPLEMENTAL APPLICATION (RENEWAL APPLICANTS ONLY)

SCORING FACTORS

Factor 2B  If this information was not already provided in response to the Request for Information (RFI): What was the total amount expended of HUD CoC funds for this grant in the 2015 grant year?

Factor 4C  Is the project dedicated to any of the following populations (check all that apply)?

- [ ] Youth
- [ ] Survivors of Domestic Violence
- [ ] Families with Children
- [ ] Veterans
- [ ] None of the Above

NARRATIVE RESPONSE TO PRELIMINARY AND ANTICIPATED SCORES (3-PAGE LIMIT)

You may provide a narrative of up to 3 pages to supplement the information contained in your HMIS Data/Project Evaluation Report regarding your program’s successes in the past operating year. Applicants may use this opportunity to direct the Review and Rank Committee to explanatory or qualifying information regarding those scoring factors on which their project may not score perfectly and to encourage Panelists to exercise discretion in changing the scores for those factors.

Projects will be provided preliminary scores only for those scoring factors that are pre-scored or scaled based on HMIS data. Projects are encouraged to provide explanatory information for any scoring factors they believe may not accurately reflect performance, including those for which they did not receive preliminary scores.

Applicants may use data and past performance information to support their arguments (e.g., information regarding the special nature of the population served, unusual or unforeseeable circumstances beyond the project’s control, or other reasons the project’s data does not adequately reflect its work). Please note that preliminary scores may go UP or DOWN during the Committee’s review.

Updated July 25, 2017
**PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA**

- New projects; **OR**
- New expansion projects; **OR**
- Renewal projects that did not have a complete year of data for calendar year 2016; **OR**
- Transfer projects that did not have a complete year of post-transfer data (i.e., data relating to performance AFTER transfer to the project’s current agency) for calendar year 2016.

All other housing projects, please use the application for “RENEWAL” projects.

**FUNDING REQUEST TYPE**

Is this application for reallocated funding or Permanent Housing Bonus funding, or would you like it to be considered for both opportunities?

- [ ] Reallocated funding
- [ ] Bonus funding
- [ ] Consider for both reallocated funding and bonus funding
- [ ] Transfer of an existing grant
- [x] None of the Above: renewal or transfer project without a full year of data

**THRESHOLD REQUIREMENTS**

In addition to the scoring criteria, all projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. **Please check a box in each category to confirm the truth of the following:**

**HMIS Implementation**

- [ ] The project (unless a victim service provider prohibited from entering client-level data in HMIS) agrees to full and active participate in the CoC’s HMIS, which must already be implemented prior to HUD executing a grant agreement;

  **OR**

- [ ] If the project is a victim service provider prohibited from entering client-level data in HMIS, the project agrees to use a comparable database.
**Coordinated Entry Participation**

- The project agrees to participate in the CoC’s coordinated entry system, which must already be implemented prior to HUD executing a grant agreement.

**Eligible Applicant**

- Applicant and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

**Eligible New Project Type**

The application proposes:

- Permanent supportive housing where 100 percent of the beds are dedicated to chronic homelessness;

**OR**

- DedicatedPLUS permanent supportive housing where 100 percent of the beds are dedicated to serve individuals with disabilities and families in which one adult or child has a disability, including unaccompanied homeless youth, that at intake are:
  
  - Experiencing chronic homelessness;
  
  - Residing in a transitional housing project that will be eliminated and meets the definition of chronically homeless in effect at the time in which the individual or family entered the transitional housing project;
  
  - Residing in a place not meant for human habitation, emergency shelter, or safe haven; but the individuals or families experiencing chronic homelessness had been admitted and enrolled in a permanent housing project within the last year and were unable to maintain a housing placement;
  
  - Residing in transitional housing funded by a Joint TH and PH-RRH component project and who were experiencing chronic homelessness prior to entering the project;
  
  - Residing and has resided in a place not meant for human habitation, a safe haven, or emergency shelter for at least 12 months in the last three years, but has not done so on four separate occasions; or
  
  - Receiving assistance through a Department of Veterans Affairs (VA)-funded homeless assistance program and met one of the above criteria at initial intake to the VA’s homeless assistance system;

**OR**

- Rapid rehousing, serving individuals and families (including youth) who are:
  
  - Residing in a place not meant for human habitation;
  
  - Residing in an emergency shelter;
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

- Persons meeting the criteria of paragraph (4) of the definition of homeless, including persons fleeing or attempting to flee domestic violence situations;
- Residing in a transitional housing project that was eliminated in the FY 2017 CoC Program Competition;
- Residing in transitional housing funded by a Joint TH and PH-RRH component project; or
- Receiving services from a VA-funded homeless assistance program and met one of the above criteria at initial intake to the VA’s homeless assistance system;

OR

☐ Joint component types, which will combine transitional housing and rapid rehousing into a single project to serve individuals and families experiencing homelessness;

OR

☐ An otherwise eligible transfer of an existing grant

HUD Threshold

☐ Project complies with eligibility requirements of the CoC Interim Rule and Subsequent Notices, and meets the threshold requirements outlined in the 2017 Notice of Funding Availability (pp. 29-37).

SCORING FACTOR 1: PROJECT’S WORK CONSISTENT WITH COMMUNITY NEEDS

Factor 1A Are you proposing using grant funds for renewable activities (e.g., leasing, rental subsidies, housing operations as opposed to nonrenewable funds for acquisition, construction or rehabilitation)?

☐ Yes ☐ No

Factor 1B Does your proposal address an unmet need by serving an under-served area of the County, including areas outside of downtown San Jose?

☐ Yes ☐ No

If yes, please briefly describe. (1/3-page limit)
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

**Factor 1C**
Will the project be ready to start by HUD’s statutory guidelines? Consider:

- For Construction/Rehabilitation/Acquisition:
  - When will you have site control?
  - When will construction/rehabilitation begin?
  - When will construction/rehabilitation be complete?
- For Leasing: When will you start leasing units?
- For Rental Assistance: When will you start rental assistance?

Yes  ☐ No ☐

What regulatory obstacles, if any, do you anticipate confronting, such as tenant displacement or relocation, environmental or zoning issues? How will these obstacles be overcome so that the project will be timely? *(1-page limit)*

**SCORING FACTOR 2: PROJECT ABILITY TO ENHANCE SYSTEM PERFORMANCE**

**Factor 2A**
Describe the population to be served, establishing that it is well-defined and eligible. Explain how the project will prioritize serving project participants with the highest need. *(1/2-page limit)*

**Factors 2B/D/E**
Does program design include provision of comprehensive/intensive case management and appropriate supportive services of the type, scale and location to meet the needs of program participants (as well as transportation if necessary) using a Housing First Model? Are the program’s policies and procedures and the housing where participants will reside appropriate to the program design? Please briefly describe: *(2-page limit)*

- The services, housing, policies and procedures used by/proposed for this project
- The number and type of staff used by/proposed for this project (services and operations staff)
- How staff are/will be trained to meet the needs of the population to be served (services and operations staff)
- If unhoused or formerly unhoused people are/will be involved in designing the program
- How tenants will be involved in policy decisions related to the program and in operating the program
- How the program is/will be accessible to those of different abilities and cultures, including physical accessibility to persons with disabilities
- How the project links participants to other services, including mainstream health and social service programs
- How the project’s policies and procedures ensure clients are individually assisted to pursue mainstream benefits
- How the project’s policies and procedures actively reduce barriers to access and retention
- The evidence-based practices the project uses/will use to serve participants

**Factor 2C**
Please state the goals and/or outcome objectives for your project, including estimated outcomes in retention or exits to permanent housing and increase in employments and benefits, as set forth below. *(1/2-page limit)*

*Updated July 25, 2017*
Minimum project outcomes should include:

- The percentage of formerly homeless individuals who remain housed in the HUD permanent housing project at the end of the operating year or exited to other permanent housing is at least 90%
- The percentage of leavers that increase employment income from entry to exit is at least 20% for PSH and 38% for RRH
- The percentage of leavers that increase non-employment income from entry to exit is at least 54%
- The percentage of adult leavers and stayers in all CoC-funded projects that have non-cash mainstream benefits is at least 80% for PSH and 51% for RRH

**Factor 2F** Please attach your agency and/or project written policies or procedures that clearly demonstrate participants are NOT SCREENED OUT based on the following criteria, and indicate the document and page number where the panel can find each provision.

PLEASE NOTE: If a policy or procedure applies to all CoC-funded projects or agency-wide, you may submit one copy per agency (please skip this attachment and table below if already submitted with pre-NOFA RFI). If you have different policies or procedures for different projects or project types, submit one copy of each relevant policy and specify to which project or projects each one applies.

<table>
<thead>
<tr>
<th>Name of Document/File</th>
<th>Page Number</th>
<th>Name of Project(s) (or “All Projects”)</th>
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<tbody>
<tr>
<td>Having too little or no income</td>
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<td>Having a criminal record (with exceptions for state-mandated restrictions)</td>
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<td>History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement)</td>
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**Please attach** your agency and/or project written policies or procedures that clearly demonstrate participants are NOT TERMINATED from the program for the following reasons, and indicate the document and page number where the panel can find each provision.

PLEASE NOTE: If a policy or procedure applies to all CoC-funded projects or agency-wide, you may submit one copy per agency (please skip this attachment and table below if already submitted with pre-NOFA RFI). If you have different policies or procedures for different projects or project types, submit one copy of each relevant policy and specify to which project or projects each one applies.
SCORING FACTOR 3: AGENCY/COLLABORATIVE CAPACITY TO ENHANCE SYSTEM PERFORMANCE

Factor 3A  Does/will the agency have the following HEARTH required policies and procedures in place?

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<tr>
<th>Yes</th>
<th>No</th>
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<th>Policies</th>
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</table>

In the past five years, has your agency previously managed a significant state/federal grant, for example, a grant for at least $200,000 per year for a three-year period?

☑ Yes  ☐ No

Does your agency have a staffing plan that covers both grant management and performance of grant activities?

☐ Yes  ☐ No

Please elaborate on this last question. (1/2-page limit)
Factor 3B  PLEASE NOTE: Agencies that completed a pre-NOFA Panel Request for Information (RFI), submitted on or around April 28, 2017, do NOT need to fill out this section (Factor 3B).

Are there any unresolved HUD monitoring findings or concerns or outstanding HUD audit findings related to any project of your agency?

☐ Yes  ☐ No

Has HUD instituted any sanctions on any project of your agency, including, but not limited to, suspending disbursements (e.g., freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues?

☐ Yes  ☐ No

If yes to either (1) or (2) above, please attach the written communications between HUD and the project concerning those matters and describe the issue and status here, including the extent to which you have advised the Collaborative Applicant of the outstanding HUD findings or concerns. (1-page limit)

Factor 3C  How does the project align with and support CoC priorities, with particular attention to the priorities outlined below? (1-page limit)

- Services provided or described are adequate to meet the needs of the population served, as indicated by:
  - Case manager to client ratio
  - The type of services provided (substance use treatment, trauma informed care, youth-targeted programming, etc.)
- The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example (non-exhaustive list):
  - Project employs landlord engagement strategies
  - Project proposes to increase the number of persons served
  - Contribution of project to improving system performance
  - Project has or participates in a move-on program or strategy
- The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population
- Sources of match funding are stable and sustainable
- Agency’s CoC participation (meeting attendance)

SCORING FACTOR 4: HMIS PARTICIPATION

Factor 4  Does the project agency’s other programs, if any, demonstrate HMIS participation and good data quality (e.g., minimal percentage of null/missing, “don’t know” or “refused” data; percentage of clients with exit to known destinations; percentage of clients with known income and benefits)? Please explain. (1/3-page limit)

Victim service providers prohibited from using HMIS will receive points based on use of a comparable database.

Updated July 25, 2017
NARRATIVE RESPONSE TO PRELIMINARY AND ANTICIPATED SCORES (3-PAGE LIMIT)

If you received preliminary scores for your project you may provide a narrative of up to 3 pages to supplement the information contained in your HMIS Data/Project Evaluation Report regarding your program’s successes in the past operating year. Applicants can use this opportunity to direct the Review and Rank Committee Panelists to explanatory or qualifying information regarding those scoring factors on which their project may not score perfectly and to encourage Panelists to exercise discretion in changing the scores for those factors.

Projects will be provided preliminary score sheets for those scoring factors that are pre-scored and scaled. New, first time renewal, and first time renewal after transfer projects may not have any pre-scored factors or may have pre-scored factors for agency capacity only. Projects are encouraged to provide explanatory information for any scoring factor they believe may not accurately reflect the project’s performance, including those for which they did not receive a preliminary score.

Applicants may use data and past performance information to support their arguments, including, e.g., information regarding the special nature of the population served, unusual or unforeseeable circumstances beyond the project’s control, or other reasons the project’s data does not adequately reflect its work. Please note that your preliminary scores can go UP or DOWN during the Panel’s review.
2017 Continuum of Care Grants
Supplemental Application
NEW COORDINATED ENTRY PROJECTS***

***PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA

(1) New Support Services Only (SSO) Projects for Coordinated Entry

FUNDING REQUEST TYPE

Note that this application MUST be for reallocated funding.

THRESHOLD REQUIREMENTS

In addition to the scoring criteria, all projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. Please check the box in each category below to confirm the following is true:

Eligible Applicant

☐ Applicant and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

HUD Threshold

☐ Project complies with eligibility requirements of the CoC Interim Rule and Subsequent Notices, and meets the threshold requirements outlined in the 2017 Notice of Funding Availability (pp. 29-37).

SCORING FACTOR: PROJECT’S WORK IS CONSISTENT WITH COMMUNITY NEEDS

Factor 1A Are you proposing using grant funds for renewable activities (e.g., leasing, rental subsidies, housing operations as opposed to nonrenewable funds for acquisition, construction or rehabilitation)?

☐ Yes ☐ No

Factor 1B Does your proposal address an unmet need by serving an under-served area of the County, including areas outside of downtown San Jose?

☐ Yes ☐ No

If yes, please briefly describe. (1/3-page limit)
Factor 1C  Will the project be ready to start by HUD’s statutory guidelines? Consider:

- For Coordinated Entry: When will the coordinated entry process proposed by this grant begin?

What regulatory obstacles, if any, do you anticipate confronting, such as tenant displacement or relocation, environmental or zoning issues? How will these obstacles be overcome so that the project will be timely? (1-page limit)

SCORING FACTOR: PROJECT ABILITY TO ENHANCE SYSTEM PERFORMANCE

Factor 2A  Describe the population to be served, establishing that it is well-defined and eligible. Explain how the project will prioritize serving project participants with the highest need. (1/2-page limit)

Factor 2B  Does the program design include outreach, access, assessment, and referrals? Please briefly describe: (1-page limit)

a. How the design will reflect an effective approach to outreach, access, assessment and referrals;
b. How community partners will be involved;
c. How other, non-CoC funds will be leveraged to support implementation and operation;
d. How the project is staffed to achieve its goals;
e. How the program includes involvement of clientele in designing and operating a low barrier system;
f. How the project design intentionally is inclusive of and accessible to all eligible clients; and
g. The evidence-based practices the project uses/will use to serve participants.

Factor 2C  Please state the goals and/or outcome objectives for your project, including estimated outcomes, and describe how the estimated schedule for proposed activities, management and methods will assure full capacity effective and timely completion of the proposed project. (1/2-page limit)

Factor 2D  Will the proposed project cover the CoC’s entire geographic area? If not, please explain. (1/2-page limit)

Factor 2E  Please describe the program policies and procedures, consistent with the program design proposed, including how the coordinated entry will be easily accessible to individuals and families with the highest barriers to access and how it will include affirmative fair housing strategies. (1-page limit)

Factor 2F  Please explain how the advertisement strategy for coordinated entry is designed to reach those with the highest barriers to accessing assistance, including persons with disabilities and persons with limited English Proficiencies. (1/2-page limit)
Factor 2G  Please explain whether the standardized assessment process is comprehensive according to the housing and services available in the community. Will the process be standardized in structure, delivery, and evaluation across all assessments conducted using coordinated entry? *(1/2-page limit)*

Factor 2H  How does the coordinated entry process ensure participants are directed to appropriate housing or services? Please briefly describe: *(1/2-page limit)*
   a. How the referral process for homelessness resources will be coordinated across CoC and ESG providers;
   b. How the process will include a list of all available resources and uniform decision making;
   c. How the process will include program participant choice; and
   d. Whether there will be a process to reconcile unsuccessful or rejected placements.

Factor 2I  The project will ensure participants are not screened out based on (please check all that are true):
   - [ ] Having too little or no income
   - [ ] Active, or history of, substance abuse
   - [ ] Having a criminal record (with exceptions for state-mandated restrictions)
   - [ ] History of experiencing domestic violence (e.g., lack of a protective order)

**SCORING FACTOR: AGENCY/COLLABORATIVE CAPACITY TO ENHANCE SYSTEM PERFORMANCE**

Factor 3A  Does/will the agency have the following HEBATH required policies and procedures in place?

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In the past five years, has your agency previously managed a significant state/federal grant, for example, a grant for at least $200,000 per year for a three-year period?

☐ Yes    ☐ No

Does your agency have a staffing plan that covers both grant management and performance of grant activities?

☐ Yes    ☐ No

Please elaborate on this last question. (1/2-page limit)

Factor 3B  PLEASE NOTE: Agencies that completed a pre-NOFA Panel Request for Information (RFI), submitted on or around April 28, 2017, do NOT need to fill out this section (Factor 3B).

Are there any unresolved HUD monitoring findings or concerns or outstanding HUD audit findings related to any project of your agency?

☐ Yes    ☐ No

Has HUD instituted any sanctions on any project of your agency, including, but not limited to, suspending disbursements (e.g., freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues?

☐ Yes    ☐ No

If yes to either (1) or (2) above, please attach the written communications between HUD and the project concerning those matters and describe the issue and status here, including the extent to which you have advised the Collaborative Applicant of the outstanding HUD findings or concerns. (1-page limit)

Factor 3C  How does the project align with and support CoC priorities, with particular attention to the priorities outlined below? (1-page limit)

- Services provided or described are adequate to meet the needs of the population served
- The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example (non-exhaustive list):
  - Project proposes to increase the number of persons served
  - Contribution of project to improving system performance
- The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population
- Sources of match funding are stable and sustainable
- Agency’s CoC participation (meeting attendance)
2017 Continuum of Care Grants
Supplemental Application
NEW HMIS PROJECTS***

***PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA

(2) New Support Services Only (SSO) Projects for Homeless Management Information System

FUNDING REQUEST TYPE

Note that this application MUST be for reallocated funding.

THRESHOLD REQUIREMENTS

In addition to the scoring criteria, all projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. Please check the box to confirm the following is true:

Eligible Applicant

☐ Applicant and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

SCORING FACTOR: PROJECT’S WORK IS CONSISTENT WITH COMMUNITY NEEDS

Factor 1A Are you proposing using grant funds for renewable activities (e.g., leasing, rental subsidies, housing operations as opposed to nonrenewable funds for acquisition, construction or rehabilitation)?

☐ Yes ☐ No

Factor 1B Does your proposal address an unmet need by serving an under-served area of the County, including areas outside of downtown San Jose?

☐ Yes ☐ No

If yes, please briefly describe. (1/3-page limit)

Factor 1C Will the project be ready to start by HUD’s statutory guidelines? Consider:

• For HMIS: When will the HMIS proposed by this grant begin?

What regulatory obstacles, if any, do you anticipate confronting, such as tenant displacement or relocation, environmental or zoning issues? How will these obstacles be overcome so that the project will be timely? (1-page limit)
**SCORING FACTOR: PROJECT ABILITY TO ENHANCE SYSTEM PERFORMANCE**

**Factor 2A**  How will the project increase HMIS capacity and/or functionality? (*1/2-page limit*)

Will the project improve agency and CoC access to data in a form that can be analyzed and assist the Continuum of Care in assessing homeless needs, allocating resources, and coordinating services?

☐ Yes ☐ No

**Factor 2B**  Will Data Quality for the system will be within an acceptable range?

☐ Yes ☐ No

Will the reports produced for the Continuum of Care and for HUD be useful and satisfactory to meet the requirements for the CoC obligations (AHAR, PIT, HIC, APR, CAPER, etc.)?

☐ Yes ☐ No

Does the HMIS collect all Universal Data Elements as set forth in the HMIS Data Standards?

☐ Yes ☐ No

Does the HMIS un-duplicate client records?

☐ Yes ☐ No

If no to any of the above, please explain. (*1-page limit*)

**Factor 2C**  Will the agency conduct trainings and otherwise assist projects to move into compliance with HUD HMIS Data Standards?

☐ Yes ☐ No

**SCORING FACTOR: AGENCY/COLLABORATIVE CAPACITY TO ENHANCE SYSTEM PERFORMANCE**

**Factor 3A**  Does/will the agency have the following HEARTH required policies and procedures in place?

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In the past five years, has your agency previously managed a significant state/federal grant, for example, a grant for at least $200,000 per year for a three-year period?

- [ ] Yes  - [ ] No

Does your agency have a staffing plan that covers both grant management and performance of grant activities?

- [ ] Yes  - [ ] No

Please elaborate on this last question *(1/2-page limit)*.

**Factor 3B**

*PLEASE NOTE: Agencies that completed a pre-NOFA Panel Request for Information (RFI), submitted on or around April 28, 2017, do **NOT** need to fill out this section (Factor 3B).*

Are there any unresolved HUD monitoring findings or concerns or outstanding HUD audit findings related to any project of your agency?

- [ ] Yes  - [ ] No

Has HUD instituted any sanctions on any project of your agency, including, but not limited to, suspending disbursements (*e.g.*, freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues?

- [ ] Yes  - [ ] No

If yes to either (1) or (2) above, please attach the written communications between HUD and the project concerning those matters and describe the issue and status here, including the extent to which you have advised the Collaborative Applicant of the outstanding HUD findings or concerns *(1-page limit)*.

**Factor 3C**

How does the project align with and support CoC priorities, with particular attention to the priorities outlined below *(1-page limit)*?

- Services provided or described are adequate to meet the needs of the population served
• The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example (non-exhaustive list):
  o Project proposes to increase the number of persons served
  o Contribution of project to improving system performance
• The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population
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• Agency’s CoC participation (meeting attendance)
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<th>Notes</th>
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<tr>
<td>NOFA Released</td>
<td>HUD</td>
<td>July 14, 2017</td>
<td>N/A</td>
<td>HUD releases the Notice of Funding Availability</td>
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<tr>
<td>NOFA Committee meets</td>
<td>OSH, HomeBase, NOFA Committee</td>
<td>July 27, 2017 @ 3:30-4:30 pm</td>
<td>OSH Suite 100 Conference Space; 3180 Newberry Dr.</td>
<td>NOFA Committee considers modifications to scoring tools and local process based on new information in the FY 2017 NOFA.</td>
</tr>
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<td>TA Workshop</td>
<td>OSH, HomeBase</td>
<td>August 1, 2017 @ 1-3 pm</td>
<td>OSH Suite 100 Conference Space; 3180 Newberry Dr.</td>
<td>Release information about local priorities and HUD guidelines for proposals. Agencies will be given a proposal package and training on how to complete the application.</td>
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<tr>
<td>Agencies write Proposals</td>
<td>Agencies</td>
<td>August 1 - August 14 2017</td>
<td>N/A</td>
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<tr>
<td>Proposals are due</td>
<td>Agencies</td>
<td>August 14, 2017 @ noon</td>
<td>Via email</td>
<td>See Supplemental Application Checklist for list of required documents and information about where and how to turn in documents.</td>
</tr>
<tr>
<td>Rank &amp; Review Panel Training</td>
<td>OSH, HomeBase</td>
<td>August 18, 2017 @ 10-11:30 am</td>
<td>Online</td>
<td>Rank &amp; Review Panel receives training for scoring projects.</td>
</tr>
<tr>
<td>Rank &amp; Review Panel meets</td>
<td>OSH, HomeBase</td>
<td>August 30 – September 1, 2017</td>
<td>OSH Suite 100 Conference Space; 3180 Newberry Dr.</td>
<td>Rank &amp; Review Panel meets to discuss proposals and determine how projects will be ranked in the 2017 application.</td>
</tr>
<tr>
<td>Posting of Preliminary Priority List</td>
<td>OSH</td>
<td>September 2, 2017 @ 5 pm</td>
<td>Via e-mail</td>
<td>Preliminary priority list emailed to agencies.</td>
</tr>
<tr>
<td>Notification of Appeal</td>
<td>Agencies</td>
<td>September 5, 2017 @ 12 pm</td>
<td>Via e-mail</td>
<td>Applicants who intend to appeal their ranking on the preliminary priority list must notify HomeBase of their intent to appeal.</td>
</tr>
<tr>
<td>Sponsor Appeals due</td>
<td>Agencies</td>
<td>September 6, 2017 @ 5 pm</td>
<td>Via e-mail</td>
<td>Agencies may inspect their scores and formulate a written appeal based on appeal policy.</td>
</tr>
<tr>
<td>Appeals Committee meets</td>
<td>Appeal Committee</td>
<td>September 7, 2017</td>
<td>Online</td>
<td>Review appeals and recalculate scores, if necessary.</td>
</tr>
<tr>
<td>NOFA Committee meets</td>
<td>NOFA Committee</td>
<td>September 11, 2017</td>
<td>In person</td>
<td>NOFA Committee reviews Tier 2 and develops recommendations regarding strategic allocation of CoC funding.</td>
</tr>
<tr>
<td>Priority List is distributed to applicants</td>
<td>OSH</td>
<td>September 12, 2017</td>
<td>Via e-mail</td>
<td>Final priority list to be approved at CoC Board meeting emailed to agencies.</td>
</tr>
<tr>
<td>CoC Board Approval of Priority List</td>
<td>OSH</td>
<td>September 12, 2017</td>
<td>In Person or Online</td>
<td>Present final priority list to CoC Board for approval. Final Priority List published on CoC website.</td>
</tr>
<tr>
<td>HomeBase and OSH review project applications</td>
<td>HomeBase, OSH</td>
<td>August 14 - September 21, 2017</td>
<td>N/A</td>
<td>HomeBase and OSH work with agencies to finalize project applications for submission.</td>
</tr>
<tr>
<td>Final Project Applications to e-snaps</td>
<td>Agencies</td>
<td>September 21, 2017 @ 5 pm</td>
<td>Online</td>
<td>Agencies upload final applications to e-snaps, including all necessary attachments.</td>
</tr>
<tr>
<td>CoC Consolidated Application Posting</td>
<td>OSH, HomeBase</td>
<td>September 25, 2017</td>
<td>Online</td>
<td>CoC consolidated application is posted on CoC website.</td>
</tr>
<tr>
<td>Application is due to HUD</td>
<td>OSH, HomeBase</td>
<td>September 28, 2017</td>
<td>N/A</td>
<td>Application is packaged and submitted to HUD.</td>
</tr>
</tbody>
</table>
Hello CoC members-

On Friday, July 14, HUD released its Notice of Funding Availability (NOFA) for the 2017 Continuum of Care (CoC) Program Competition. In FY 2016, Santa Clara County received approximately $20,015,353 in funding through the CoC Program for housing and services for persons experiencing homelessness, as well as for some of the infrastructure to support our system of care.

Please join us for Santa Clara County CoC's mandatory informational Technical Assistance (TA) Workshop on Monday, August 1 from 1-3pm. This workshop will provide attendees with an overview of the local application process, as well as instructions for completing the local and project applications. RSVP here.

Information will be provided about renewal project applications as well as applications for new housing projects through reallocated and/or Bonus funding. We encourage all organizations interested in applying for CoC funding to attend, including organizations that have not previously received CoC funding.

Please also join us for a NOFA Committee meeting on Thursday, July 27 from 3:30-4:30pm. The Committee will consider multiple changes to the local scoring tools and project review process based on new information in the FY 2017 NOFA.

NOFA Committee Meeting
July 27, 2017, 3:30pm - 4:30pm
Location: Conference Room TBD, 3180 Newberry Drive, San Jose

Technical Assistance (TA) Workshop
August 1, 2017, 1:00pm - 3:00pm
Location: Conference Room TBD, 3180 Newberry Drive, San Jose
All prospective applicants must attend. RSVP with the following form: https://goo.gl/forms/YPvWjw0pppKojTfz2

Further information regarding the SCC CoC NOFA local process, including key dates, is below.

Thank you!
Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570
2017 CoC Program Competition Process Overview
The following overview provides information about the local process required by HUD as part of this competition, including key dates. You can find more information about the 2017 CoC NOFA on HUD's website [link: https://www.hudexchange.info/programs/e-snaps/fy-2017-coc-program-nofa-coc-program-competition/].

NOFA Overview
This year's NOFA and scoring criteria are very focused on HUD's policy priorities, including system performance measures and demonstrated ability to reallocate resources to higher performing projects, as well as making further progress on ending homelessness for all populations. As in past years, CoC funding is divided into two tiers, with projects prioritized into Tier 1 being more likely to be funded than projects of lower priority that fall into Tier 2.

The CoC may apply for new projects. Funding for new projects can come from reallocation of resources or from bonus funding. Bonus projects may include:
- New PSH for persons experiencing chronic homelessness
- New PSH that is "DedicatedPLUS," a new term defined by HUD in the FY 2017 NOFA
- New RRH for certain individuals and families who come directly from the streets or emergency shelters, are fleeing domestic violence, are residing in a CoC TH project that was defunded, or are in a VA homeless assistance program and entered the VA program from one of the above locations
- New TH-RRH projects for families or individuals experiencing homelessness, as described by HUD in the FY 2017 NOFA

Reallocated funds can be used for those project types, and for:
- New Supportive Services Only projects for Coordinated Assessment
- New HMIS projects

Funding Available
Our CoC may apply for the following estimated awards:
- Annual Renewal Demand - $19,543,610
- Permanent Housing Bonus - $1,172,617
- Planning Funding - $586,308

Key Dates
The following dates outline steps in our local process:

**July 27, 2017 - 3:30pm - 4:30pm**
NOFA Committee Meeting
Location: Conference Room TBD, 3180 Newberry Drive, San Jose
The Committee will consider changes to local scoring tools and project review process based on new information in the FY 2017 NOFA.

**August 1, 2017 - 1:00pm - 3:00pm**
Technical Assistance (TA) Workshop
Location: Conference Room TBD, 3180 Newberry Drive, San Jose
This workshop will provide attendees with an overview of the local application process, as well as instructions for completing the local and project applications.

All prospective applicants should attend. Please RSVP with the following form:
https://goo.gl/forms/YPvWJw0pppKojTfz2

**August 14, 2017 - by 12:00pm (noon) local time**
Local proposals due. Submissions will occur online.
August 30-September 1, 2017
Review and Rank Panel
Location: Office of Supportive Housing, 3180 Newberry Drive, San Jose
The panel will meet with applicants and deliberate on August 30th and 31st and as necessary on September 1.

September 2, 2017
Collaborative Applicant will post the preliminary Priority Listing. (Note: An appeals process has been scheduled between September 2 and September 6, should applicants wish to submit an appeal to their Priority Listing.)

September 11, 2017
NOFA Committee will meet to review Tier 2 and consider recommendations to the CoC Board regarding strategic allocation of CoC funding.

September 12, 2017
CoC Board will review and vote on Priority List recommendations made by the Review and Rank Panel.

September 25, 2017
The Collaborative Applicant will post the CoC's Consolidated Application on the CoC website [link: https://www.sccgov.org/sites/oah/coc/Pages/home.aspx] and will submit the application to HUD.

Contact the Collaborative Applicant
The County of Santa Clara’s Office of Supportive Housing is the Collaborative Applicant for the Santa Clara County CoC. If you have questions or comments regarding the CoC or local NOFA process, please contact Hilary Barroga at hilary.barroga@hhs.sccgov.org. You may also direct questions about the NOFA process to sccnofa@homebaseccc.org.

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To post to this group, send email to CoC@santaclaracountycoc.org.
AGENDA

I. Welcome

II. 2017 HUD CoC Notice of Funding Availability

III. Local Competition Process and Timeline

IV. Renewal Projects
   a. Local Scoring and Application
   b. E-SNAPS and HUD Project Application

V. New Projects
   a. Overview of HUD Priorities & CoC Program requirements
   b. Local Scoring and Application
Hello,

The materials for the 2017 HUD Continuum of Care competition are attached and available on the Santa Clara County Continuum of Care website [here](#).

The HUD Continuum of Care program Notice of Funding Availability (NOFA) was released on July 14, 2017, making available approximately $2 billion to serve people experiencing homelessness nationally. This year, Santa Clara County’s CoC is eligible to apply for $20,716,227 in renewal funds, as well as $1,172,617 in new permanent housing bonus and $586,308 in planning funds.

Some important dates and key resources are available below. In addition, please do not hesitate to contact HomeBase at [sccnofa@homebaseccc.org](mailto:sccnofa@homebaseccc.org) with any questions.

Thank you!

Hilary

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**Important Dates:**

- **August 14 (by noon):** Project Applications Due
- **August 30-September 1:** Review and Rank Panel Committee meets
- **September 2 (by 5 p.m.):** Preliminary Priority List available
- **September 5 (by 12 p.m.):** Notification of Appeal due to [sccnofa@homebaseccc.org](mailto:sccnofa@homebaseccc.org)
- **September 7:** Appeals Committee meets

**Key Resources:**


**Program Resources:** [https://www.hudexchange.info/homelessness-assistance/](https://www.hudexchange.info/homelessness-assistance/)
CoC Program Interim Rule training materials and program resources

Application Resources: [https://www.hudexchange.info/e-snaps/guides/coc-program-competition-resources/](https://www.hudexchange.info/e-snaps/guides/coc-program-competition-resources/)

- Application Instructional Guides
- Application Detailed Instructions
- FAQs


To join the HUD listserv: [www.hudexchange.info/mailinglist](http://www.hudexchange.info/mailinglist)

Hilary Barroga  
Continuum of Care Quality Improvement Manager  
Office of Supportive Housing  
County of Santa Clara  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118  
(408) 793-0570

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You received this message because you are subscribed to the Google Groups "SCC CoC - CoC" group. To unsubscribe from this group and stop receiving emails from it, send an email to CoC+unsubscribe@santaclaracountycoc.org.

To post to this group, send email to CoC@santaclaracountycoc.org.
One of the programs through which the US Department of Housing and Urban Development (HUD) distributes Funding to Santa Clara County is the Continuum of Care (CoC) Program. This page contains information about the Funding we receive locally, as well as information for the annual Funding competition.

2017 HUD CoC NOFA - Local Competition Materials
- 2017 sec Coe NOFA Timeline (PDF)
- 2017 sec Coe NOFA Technical Assistance Handbook (PDF)
- 2017 sec Coe NOFA Local Materials (PDF)
- 2017 sec Coe NOFA List of Eligible Projects (PDF)
- 2017 sec Coe NOFA Project Point Person Contact Form

2017 HUD CoC NOFA - Local Competition Supplemental Applications
- 2017 Supplemental Application Renewal Projects
- 2017 Supplemental Application First time Renewal Projects
- 2017 Supplemental Application New Coordinated Entry Project
- 2017 Supplemental Application New HMIS project

2016 HUD CoC NOFA Application
- 2016 sec HUD Coe NOFA Consolidated Application
- This is a draft of the CoC's submission to HUD in response to the 2016 Coe Program NOFA.
- 2016 HUD Coe NOFA Prioritv. Listing
- This priority listing will accompany our Consolidated Application.

2016 HUD Coe NOFA · Priority Listing
- 2016 sec Coe Approved Priority Listing.
- This priority listing, recommended by the CoC's Review and Rank Panel and Appeals Committee, was reviewed and approved by the Coe Board on August 29, 2016.
ATTACHMENT: CoC PROCESS FOR REALLOCATING

1) Documentation that demonstrates the CoC reallocated at least 20% of the CoC’s ARD between the FY 2013 and FY 2017 CoC Program Competitions

The CoC has cumulatively reallocated $4,303,278 from FY 2013 to FY 2017. This is %34 of the CoC’s FY 2013 ARD of $12,556,009.

<table>
<thead>
<tr>
<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summary of %34.27 Reallocation between FY 2013 and FY 2017</td>
<td>1 - 8</td>
</tr>
<tr>
<td>o Evidence of $495,059 Reallocation in FY 2013 CoC Program Competition: Excerpt from FY 2013 CoC Application.</td>
<td>1</td>
</tr>
<tr>
<td>o Evidence of $443,804 Reallocation in FY 2014 CoC Program Competition: Excerpt from FY 2014 Priority Listing submission.</td>
<td>2</td>
</tr>
<tr>
<td>o Evidence of $1,651,568 Reallocation in FY 2015 CoC Program Competition: Excerpt from FY 2015 Priority Listing submission.</td>
<td>3</td>
</tr>
<tr>
<td>o Evidence of $130,241 Reallocation in FY 2016 CoC Program Competition: Excerpt from FY 2016 Priority Listing submission.</td>
<td>4</td>
</tr>
<tr>
<td>o Evidence of $1,582,606 Reallocation in FY 2017 CoC Program Competition: FY 2017 final Ranked List as approved by the CoC Board.</td>
<td>5 - 6</td>
</tr>
<tr>
<td>o Evidence of $12,556,009 ARD in FY 2013 CoC Program Competition: Final HUD-approved GIW.</td>
<td>7 - 8</td>
</tr>
</tbody>
</table>

2) Documentation that demonstrates the CoC encouraged new and existing providers to apply for new projects through reallocation

<table>
<thead>
<tr>
<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email Announcement of Funding Availability and Technical Assistance Workshop – July 18</td>
<td>9 - 11</td>
</tr>
<tr>
<td>o Emails sent to 557-person CoC listserv and 416-person Service Provider Network listserv, including all agencies with CoC-funded projects and 30+ additional organizations.</td>
<td>9 - 11</td>
</tr>
<tr>
<td>Technical Assistance Workshop Agenda – August 1, 2017</td>
<td>12</td>
</tr>
<tr>
<td>o The CoC’s process for reallocating (rating and review procedures) were provided in person at August 1&lt;sup&gt;st&lt;/sup&gt; Technical Assistance Workshop, a public meeting noticed widely to the community, with additional technical assistance materials and Q &amp; A opportunity.</td>
<td>12</td>
</tr>
<tr>
<td>Email Distribution of Process for Reallocating – August 3, 2017</td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>o Email sent to CoC listserv, Service Providers Network Listserv, participants in the 2017 Santa Clara County CoC Funding Competition Technical Assistance Workshop, and agencies with CoC-funded projects.</td>
<td></td>
</tr>
<tr>
<td>o Full process for reallocating (rating and review procedures) were attached.</td>
<td></td>
</tr>
</tbody>
</table>

| 13 - 14 |

<table>
<thead>
<tr>
<th>CoC Website Posting of Funding Availability and Rating and Review Procedure – August 3, 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>o Full process for reallocating (rating and review procedures) were posted to the CoC website.</td>
</tr>
</tbody>
</table>

| 15 |

<table>
<thead>
<tr>
<th>CoC’s Process for Reallocating (Rating and Review Procedure)</th>
</tr>
</thead>
<tbody>
<tr>
<td>o CoC’s rating and review procedures clearly outlines a process for reallocation.</td>
</tr>
<tr>
<td>• Reallocation by the R&amp;R Panel and CoC Board (see pp. 18-23)</td>
</tr>
</tbody>
</table>

| 16 - 69 |
3I. Reallocation: Balance Summary

3I-1 Below is the summary of the information entered on forms 3D-3H. and the last field, “Remaining Reallocation Balance” should equal “0.” If there is a balance remaining, this means that more funds are being eliminated or reduced than the new project(s) requested. CoCs cannot create a new reallocated project for an amount that is greater than the total amount of reallocated funds available for new projects.

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reallocated funds available for new project(s):</td>
<td>$495,059</td>
</tr>
<tr>
<td>Amount requested for new project(s):</td>
<td>$495,059</td>
</tr>
<tr>
<td>Remaining Reallocation Balance:</td>
<td>$0</td>
</tr>
</tbody>
</table>
6. Reallocation: Balance Summary

6-1 Below is the summary of the information entered on the reallocated forms. The last field "Remaining Reallocation Balance" should equal '0'. If there is a positive balance remaining, this means that more funds are being eliminated or reduced than the new project(s) requested. If there is a negative balance remaining, this means that more funds are being requested for the new reallocated project(s) than have been reduced or eliminated from other eligible renewal projects.

<table>
<thead>
<tr>
<th>Reallocation Chart: Reallocation Balance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reallocated funds available for new project(s):</td>
</tr>
<tr>
<td>Amount requested for new project(s):</td>
</tr>
<tr>
<td>Remaining Reallocation Balance:</td>
</tr>
</tbody>
</table>
6. Reallocation: Balance Summary

Instructions

For guidance on completing this form, please reference the FY 2015 CoC Priority Listing Detailed Instructions. Submit technical question to the e-snaps HUD Exchange Ask A Question (AAQ) at https://www.hudexchange.info/get-assistance/

6-1 Below is the summary of the information entered on the reallocated forms. The last field "Remaining Reallocation Balance" should equal '0'. If there is a positive balance remaining, this means that more funds are being eliminated or reduced than the new project(s) requested. If there is a negative balance remaining, this means that more funds are being requested for the new reallocated project(s) than have been reduced or eliminated from other eligible renewal projects.

Reallocation Chart: Reallocation Balance Summary

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reallocated funds available for new project(s):</td>
<td>$1,651,568</td>
</tr>
<tr>
<td>Amount requested for new project(s):</td>
<td>$1,651,568</td>
</tr>
<tr>
<td>Remaining Reallocation Balance:</td>
<td>$0</td>
</tr>
</tbody>
</table>
6. Reallocation: Balance Summary

Instructions
For guidance on completing this form, please reference the FY 2016 CoC Priority Listing Detailed Instructions. Submit technical question to the e-snaps HUD Exchange Ask A Question (AAQ) at https://www.hudexchange.info/get-assistance/.

6-1. Below is a summary of the information entered on the eliminated and reduced reallocation forms. The last field on this form, “Remaining Reallocation Balance” should equal zero. If there is a positive balance remaining, this means the amount of funds being eliminated or reduced are greater than the amount of funds requested for the new reallocated project(s). If there is a negative balance remaining, this means that more funds are being requested for the new reallocated project(s) than have been reduced or eliminated from other eligible renewal projects, which is not permitted.

Reallocation Chart:  Reallocation Balance Summary

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reallocated funds available for new project(s):</td>
<td>$130,241</td>
</tr>
<tr>
<td>Amount requested for new project(s):</td>
<td>$130,241</td>
</tr>
<tr>
<td>Remaining Reallocation Balance:</td>
<td>$0</td>
</tr>
</tbody>
</table>
### Tier 1 Recommended List ($0-$18,370,993)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Project</th>
<th>Applicant</th>
<th>Type</th>
<th>Grant Amount</th>
<th>Tier 1 Running Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Housing Case Management for Medical Respite Recovery</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>515,143</td>
<td>$515,143</td>
</tr>
<tr>
<td>2</td>
<td>Gilroy Place</td>
<td>St. Joseph's Family Center</td>
<td>PH</td>
<td>332,557</td>
<td>847,700</td>
</tr>
<tr>
<td>3</td>
<td>SCVHHS Rental Assistance Program #2</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>127,927</td>
<td>975,627</td>
</tr>
<tr>
<td>4</td>
<td>Peacock Commons</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>265,611</td>
<td>1,241,238</td>
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<tr>
<td>5</td>
<td>Samaritan Inns</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>486,910</td>
<td>1,728,148</td>
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<tr>
<td>6</td>
<td>Mission Rebuild</td>
<td>Abode Services</td>
<td>PH</td>
<td>420,837</td>
<td>2,148,785</td>
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<tr>
<td>7</td>
<td>CCP Placement Project</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>3,190,471</td>
<td>5,339,256</td>
</tr>
<tr>
<td>8</td>
<td>CoC Renewal Grant Application SCC Chronically Homeless PSH</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>568,883</td>
<td>5,908,139</td>
</tr>
<tr>
<td>9</td>
<td>Housing Case Management for the Homeless</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>562,719</td>
<td>6,470,858</td>
</tr>
<tr>
<td>10</td>
<td>CoC Grant Renewal Application 5320</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>340,079</td>
<td>6,811,060</td>
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<td>11</td>
<td>Senter Road PSH</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>676,379</td>
<td>7,487,986</td>
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<tr>
<td>12</td>
<td>CoC Grant Renewal Application 5022</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>3,171,855</td>
<td>10,659,941</td>
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<tr>
<td>13</td>
<td>Opportunity Center of the Midpeninsula</td>
<td>Abode Services</td>
<td>PH</td>
<td>143,936</td>
<td>10,703,777</td>
</tr>
<tr>
<td>14</td>
<td>CCP Placement Project [NEW - EXPANSION]</td>
<td>County of Santa Clara by and through Office of Supportive Housing</td>
<td>PH</td>
<td>1,172,616</td>
<td>11,876,393</td>
</tr>
<tr>
<td>15</td>
<td>Sunset Leasing</td>
<td>Abode Services</td>
<td>PH</td>
<td>216,558</td>
<td>12,094,951</td>
</tr>
<tr>
<td>16</td>
<td>Domestic Violence Rapid Rehousing for Families</td>
<td>YWCA of Silicon Valley</td>
<td>PH</td>
<td>499,904</td>
<td>12,594,855</td>
</tr>
<tr>
<td>17</td>
<td>Sexual Assault &amp; Human Trafficking-Rehousing Intervention Solutions Efforts (SA &amp; HT-RISE)</td>
<td>YWCA of Silicon Valley</td>
<td>PH</td>
<td>365,496</td>
<td>12,960,261</td>
</tr>
<tr>
<td>18</td>
<td>Transitional Housing Program for Youth and Young Families North</td>
<td>Bill Wilson Center</td>
<td>TH</td>
<td>309,348</td>
<td>13,269,609</td>
</tr>
<tr>
<td>19</td>
<td>Rapid Rehousing Youth</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>440,452</td>
<td>13,710,061</td>
</tr>
<tr>
<td>20</td>
<td>Our New Place</td>
<td>St. Joseph's Family Center</td>
<td>PH</td>
<td>348,330</td>
<td>14,058,391</td>
</tr>
<tr>
<td>21</td>
<td>Transitional Housing Program for Youth and Young Families</td>
<td>Bill Wilson Center</td>
<td>PH</td>
<td>558,923</td>
<td>14,617,314</td>
</tr>
<tr>
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### Tier 2 Recommended List ($18,370,993-$20,716,226)

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<th>Rank</th>
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<th>Type</th>
<th>Grant Amount</th>
<th>Tier 2 Running Total</th>
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<td>32</td>
<td>TH-RRH Youth [NEW]</td>
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## Annual Renewal Demand (ARD)
$19,543,610

## Permanent Housing Bonus
$1,172,616

## Reallocation
$1,582,606

## Planning
$586,308

### Tier 1
$18,370,993

### Tier 2
$2,345,233

### Tier 1 + Tier 2 Total
$20,716,226

## Total SCC Funding Request
$21,302,534

### Reallocated Projects

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<th>Applicant</th>
<th>Type</th>
<th>Reallocated Amount</th>
<th>Reallocation Running Total</th>
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### Not Ranked Per NOFA Guidelines

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### SECTION 2 - CURRENT BUDGET LINE ITEMS (BLIs) AND UNITS

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### SECTION 3 - REQUESTED BUDGET LINE ITEMS (BLIs) AND UNITS FOR FY2013 COMPETITION

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</table>

*This was a 2007 grant, but...*
Hello CoC members-

On Friday, July 14, HUD released its Notice of Funding Availability (NOFA) for the 2017 Continuum of Care (CoC) Program Competition. In FY 2016, Santa Clara County received approximately $20,015,353 in funding through the CoC Program for housing and services for persons experiencing homelessness, as well as for some of the infrastructure to support our system of care.

Please join us for Santa Clara County CoC's mandatory informational Technical Assistance (TA) Workshop on Monday, August 1 from 1-3pm. This workshop will provide attendees with an overview of the local application process, as well as instructions for completing the local and project applications. RSVP here.

Information will be provided about renewal project applications as well as applications for new housing projects through reallocated and/or Bonus funding. We encourage all organizations interested in applying for CoC funding to attend, including organizations that have not previously received CoC funding.

Please also join us for a NOFA Committee meeting on Thursday, July 27 from 3:30-4:30pm. The Committee will consider multiple changes to the local scoring tools and project review process based on new information in the FY 2017 NOFA.

**NOFA Committee Meeting**
July 27, 2017, 3:30pm - 4:30pm
Location: Conference Room TBD, 3180 Newberry Drive, San Jose

**Technical Assistance (TA) Workshop**
August 1, 2017, 1:00pm - 3:00pm
Location: Conference Room TBD, 3180 Newberry Drive, San Jose
*All prospective applicants must attend. RSVP with the following form: [https://goo.gl/forms/YPvWjw0pppKojTfz2](https://goo.gl/forms/YPvWjw0pppKojTfz2)*

Further information regarding the SCC CoC NOFA local process, including key dates, is below.

Thank you!
Hilary

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570
2017 CoC Program Competition Process Overview
The following overview provides information about the local process required by HUD as part of this competition, including key dates. You can find more information about the 2017 CoC NOFA on HUD's website [link: https://www.hudexchange.info/programs/e-snaps/fy-2017-coc-program-nofa-coc-program-competition/].

NOFA Overview
This year’s NOFA and scoring criteria are very focused on HUD’s policy priorities, including system performance measures and demonstrated ability to reallocate resources to higher performing projects, as well as making further progress on ending homelessness for all populations. As in past years, CoC funding is divided into two tiers, with projects prioritized into Tier 1 being more likely to be funded than projects of lower priority that fall into Tier 2.

The CoC may apply for new projects. Funding for new projects can come from reallocation of resources or from bonus funding. Bonus projects may include:
- New PSH for persons experiencing chronic homelessness
- New PSH that is "DedicatedPLUS," a new term defined by HUD in the FY 2017 NOFA
- New RRH for certain individuals and families who come directly from the streets or emergency shelters, are fleeing domestic violence, are residing in a CoC TH project that was defunded, or are in a VA homeless assistance program and entered the VA program from one of the above locations
- New TH-RRH projects for families or individuals experiencing homelessness, as described by HUD in the FY 2017 NOFA

Reallocated funds can be used for those project types, and for:
- New Supportive Services Only projects for Coordinated Assessment
- New HMIS projects

Funding Available
Our CoC may apply for the following estimated awards:
- Annual Renewal Demand - $19,543,610
- Permanent Housing Bonus - $1,172,617
- Planning Funding - $586,308

Key Dates
The following dates outline steps in our local process:

July 27, 2017 - 3:30pm - 4:30pm
NOFA Committee Meeting
Location: Conference Room TBD, 3180 Newberry Drive, San Jose
The Committee will consider changes to local scoring tools and project review process based on new information in the FY 2017 NOFA.

August 1, 2017 - 1:00pm - 3:00pm
Technical Assistance (TA) Workshop
Location: Conference Room TBD, 3180 Newberry Drive, San Jose
This workshop will provide attendees with an overview of the local application process, as well as instructions for completing the local and project applications.
All prospective applicants should attend. Please RSVP with the following form: https://goo.gl/forms/YPvWJw0pppKojTfz2

August 14, 2017 - by 12:00pm (noon) local time
Local proposals due. Submissions will occur online.
August 30-September 1, 2017
Review and Rank Panel
Location: Office of Supportive Housing, 3180 Newberry Drive, San Jose
The panel will meet with applicants and deliberate on August 30th and 31st and as necessary on September 1.

September 2, 2017
Collaborative Applicant will post the preliminary Priority Listing. (Note: An appeals process has been scheduled between September 2 and September 6, should applicants wish to submit an appeal to their Priority Listing.)

September 11, 2017
NOFA Committee will meet to review Tier 2 and consider recommendations to the CoC Board regarding strategic allocation of CoC funding.

September 12, 2017
CoC Board will review and vote on Priority List recommendations made by the Review and Rank Panel.

September 25, 2017
The Collaborative Applicant will post the CoC's Consolidated Application on the CoC website [link: https://www.sccgov.org/sites/oah/coc/Pages/home.aspx] and will submit the application to HUD.

Contact the Collaborative Applicant
The County of Santa Clara’s Office of Supportive Housing is the Collaborative Applicant for the Santa Clara County CoC. If you have questions or comments regarding the CoC or local NOFA process, please contact Hilary Barroga at hilary.barroga@hhs.sccgov.org. You may also direct questions about the NOFA process to sccnofa@homebaseccc.org.

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2017 HUD COC PROGRAM NOTICE OF FUNDING AVAILABILITY

Local Grants Competition Technical Assistance Workshop

AUGUST 1, 2017
1 P.M. - 3 P.M.

AGENDA

I. Welcome

II. 2017 HUD CoC Notice of Funding Availability

III. Local Competition Process and Timeline

IV. Renewal Projects
   a. Local Scoring and Application
   b. E-SNAPS and HUD Project Application

V. New Projects
   a. Overview of HUD Priorities & CoC Program requirements
   b. Local Scoring and Application
Hello,

The materials for the 2017 HUD Continuum of Care competition are attached and available on the Santa Clara County Continuum of Care website here.

The HUD Continuum of Care program Notice of Funding Availability (NOFA) was released on July 14, 2017, making available approximately $2 billion to serve people experiencing homelessness nationally. This year, Santa Clara County’s CoC is eligible to apply for $20,716,227 in renewal funds, as well as $1,172,617 in new permanent housing bonus and $586,308 in planning funds.

Some important dates and key resources are available below. In addition, please do not hesitate to contact HomeBase at sccnofa@homebaseccc.org with any questions.

Thank you!

Hilary

Important Dates:

- **August 14** (by noon): Project Applications Due
- **August 30-September 1**: Review and Rank Panel Committee meets
- **September 2** (by 5 p.m.): Preliminary Priority List available
- **September 5** (by 12 p.m.): Notification of Appeal due to sccnofa@homebaseccc.org
- **September 7**: Appeals Committee meets

Key Resources:


**Program Resources**: [https://www.hudexchange.info/homelessness-assistance/](https://www.hudexchange.info/homelessness-assistance/)
CoC Program Interim Rule training materials and program resources

Application Resources: https://www.hudexchange.info/e-snaps-guides/coc-program-competition-resources/

- Application Instructional Guides
- Application Detailed Instructions
- FAQs

HUD Exchange e-snaps Ask A Question (AAQ): http://www.hudexchange.info/get-assistance/

To join the HUD listserv: www.hudexchange.info/mailinglist

Hilary Barroga
Continuum of Care Quality Improvement Manager
Office of Supportive Housing
County of Santa Clara
3180 Newberry Drive, Suite 150
San Jose, CA 95118
(408) 793-0570

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To post to this group, send email to CoC@santaclaracountycoc.org.
One of the programs through which the US Department of Housing and Urban Development (HUD) distributes Funding to Santa Clara County is the Continuum of Care (CoC) Program. This page contains information about the Funding we receive locally, as well as information for the annual Funding competition.

**2017 HUD CoC NOFA - Local Competition Materials**
- 2017 sec Coe NOFA Timeline (PDF)
- 2017 sec Coe NOFA Technical Assistance Handbook (PDF)
- 2017 sec Coe NOFA Local Materials (PDF)
- 2017 sec Coe NOFA List of Eligible Projects (PDF)

**2017 HUD CoC NOFA - Local Competition Supplemental Applications**
- 2017 Supplemental Application Renewal Projects
- 2017 Supplemental Application First time Renewal Projects
- 2017 Supplemental Application New Coordinated Entry Project
- 2017 Supplemental Application New HMIS project

**2016 HUD Coe NOFA Application**
- 2016 sec HUD Coe NOFA Consolidated Application
- 2016 HUD Coe NOFA Prioritization

**2016 HUD Coe NOFA · Priority Listing**
- 2016 sec Coe Approved Priority Listing

This priority listing, recommended by the CoC's Review and Rank Panel and Appeals Committee, was reviewed and approved by the Coe Board on August 29, 2016.

> Report a problem with this page Back to top

**QUICK LINKS**
- HCDAC • Agenda March 13, 2017
- 6:30 PM • FY18 CDBG/HOME Funding Recommendations
- FY18 NOFA
- FY18 CDBG and HOME Applications: Presentation
- Schedule for Feb. 6, 2017 HCDAC Meeting
- AGENDA • HCDAC Feb 6, 2017 • FY18 CDBG/HOME Applicant Presentation Meeting
- FY18 NOFA Application (CDBG and HOME)
- FY 2016/2017 Annual Action Plan Amendment
- Final FY17 Urban County Annual Action Plan Submitted to HUD May 13, 2016.
Santa Clara County Continuum of Care

HUD CONTINUUM OF CARE PROGRAM

Technical Assistance Workshop
2017 NOFA Competition

LOCAL COMPETITION MANUAL

August 1, 2017
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HUD Continuum of Care Program Grants
2017 LOCAL COMMUNITY REVIEW PROCESS

This section is intended to explain the Review and Rank Process that is used to review and evaluate all project applications submitted in the local competition.

Prior to NOFA release:

- The 2017 NOFA Committee met, reviewed and made recommendations based on feedback from FY 2016 applicants and the 2016 Review and Rank Panel Committee to modify the competition process and scoring materials.
- The Executive Committee of the CoC Board reviewed and approved the NOFA Committee’s recommended changes to the process and scoring materials, subject to necessary changes due to the NOFA.
- At least 4-5 non-conflicted Review and Rank panelists were recruited by HomeBase and the Collaborative Applicant. The panel includes at least one CoC Board member and a non-conflicted provider (ideally a provider with experience administering Federal, non-CoC grants). In addition, a Collaborative Applicant representative will attend panel meetings to act as a resource (leaving the room when a conflict requires it).
  - For purposes of Review and Rank panel participation, conflict will not extend to a substantially independent program or arm of a CoC recipient, subrecipient, or applicant organization, so long as the program is controlled by an independent board and does not receive or directly benefit from CoC funding or the potential award of a CoC grant in the 2017 competition.
- HomeBase has assembled supplemental information for the Review and Rank Committee, including HMIS performance data.
- Renewal Applicants responded to the Pre-NOFA Agency Capacity Panel request for information (RFI) by Friday, April 28th at 12:00pm.
- The Pre-NOFA Agency Capacity Review and Rank Panel met and created preliminary scores for agency capacity factors for agencies with renewal projects on Tuesday, May 16, 2017.

The Ranking and Reviewing process will proceed as follows:

- TA Workshop to release information about 2017 CoC NOFA and Local Competition open to all prospective applicants will be held on Tuesday, August 1st.
- All applicants will prepare and submit project application materials.
  - *Late Applications*. Applications received after the deadline will receive zero points in the scoring process. Since this may result in the project not being funded, this can be considered an appealable ranking decision.
  - *Administrative Errors*. Panelists shall have discretion to deduct up to 10 points from a project’s total score for administrative errors, taking into consideration factors such as the extent of the error, due diligence in resolving the error, impact on the competition, and other factors subject to panelist discretion.
• Low performing projects will be encouraged to reallocate and potential applicants are encouraged to apply for new projects through reallocation.

• Review and Rank Panel members will be oriented to the process and will receive applications, project performance data and scoring materials.

• Review and Rank Panel Committee members will review and tentatively score the applications prior to their first meeting in a HomeBase-developed web-based platform called PRESTO.
  o HomeBase/CoC staff will ensure all applications meet certain Threshold Requirements (additional detail below).
  o New housing projects, first-time renewals, transfer housing projects, and first-time renewals after transfer will be scored using the New/Transfer Scoring Tool.
  o Housing projects without a full year of data for the evaluation year will be scored using the New/Transfer Scoring Tool.
  o All other renewal housing projects will be scored using the Renewal Scoring Tool.
  o New Coordinated Entry projects will be scored using the New Coordinated Entry Scoring Tool

• Review and Rank Panel will meet over the course of 2-3 days to jointly discuss each application, conduct short in-person interview sessions with applicants to have questions answered and to provide feedback on ways to improve the application, and individually score applications:
  o Ranked list(s) will be prepared based on raw scores, then translated to a tiered list.
  o HMIS and renewal Coordinated Entry projects will be automatically ranked in Tier One, immediately above the project that straddles Tier One and Two, if any. Another mechanism will be used to evaluate HMIS and Coordinated Entry outside the CoC NOFA Review and Rank process.
  o The Panel will consider reallocating renewal projects. (See additional detail below). In the event that the Review and Rank Panel identifies a renewal project (or projects) whose funding should not be renewed (or funding should be decreased), the Panel will then determine whether any new proposed projects should be awarded and will proceed with reallocation (see detail below).

• Panel releases scoring results to applicants with reminder of appeals process.
• Appellate hearings are held, if requested. Results from appeal(s) are distributed.
• CoC Board or its designee considers and modifies/approves Priority List of Projects, which is then included in the County’s Consolidated NOFA Application.
• Projects are given feedback from Committee on quality of application and ways to improve.
• County’s Consolidated NOFA Application is made available for public review and reference.
2016 Process Debriefs are held with Review and Rank Panel Committee members, project applicants, and the collaborative applicant. This information will support the 2017 NOFA Committee in making recommendations for improvement for the 2017 competition.

**Reallocation**
It is possible that funds will be reallocated from projects that will not receive renewal funding, or whose funding will be reduced. This is a decision made by the Review and Rank Panel Committee after extensive deliberation. Only eligible renewal projects that have previously been renewed under the CoC Program will be considered for reallocation. When considering reallocation, the Review and Rank Panel Committee will:

- Consider unspent funds and the ability to cut grants without cutting service/housing levels.
  - Panel members will receive training about the limitations related to spending CoC funds.
  - For projects receiving leasing or rental assistance, information about unspent funds will be presented together with information about agency capacity (serving the number of people the project is designed to serve).
- Consider history of reductions (e.g., if grant reduced one year, will not be apparent in spending the following year)
- Consider specific new permanent supportive housing or rapid re-housing project(s) and specific renewal project(s) at risk of not being funded
- Consider alternative funding sources available to support either new or renewal project(s) at risk of not being funding
- Consider renewal HUD “covenant” concerns
- Consider impact on system performance and consolidated application’s score
- Consider impact on the community in light of community needs

**The impact of this policy is that high scoring projects may be reallocated if these considerations warrant that decision.** In addition, if a project receives less than 75 points, then the Panel should strongly consider reallocation of funding.

**Threshold**
In addition to the scoring criteria, all new and renewal projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to ensure baseline requirements are met. These threshold criteria may be found in the Scoring Factors in the sections below.

**Strategic Allocation of CoC Funding**
The CoC is committed to using Continuum of Care Program funding efficiently and strategically as a component of the community’s broader continuum of homeless housing and services, to maximize availability of high performing programs to end homelessness.
Following the Appeals Committee, the 2017 NOFA Committee will convene to review the Appeals Committee Ranked List and may make recommendations to the CoC Board regarding changes to the ranking of projects in Tier Two, excluding any project that straddles Tier 1 and Tier 2. Recommendations may address ranking only; recommendations regarding reallocation developed by the Review and Rank Panel and sustained by the Appeals Committee may not be considered or modified by the NOFA Committee after appeals are complete.

In recommending changes to the ranking of Tier Two projects, the NOFA Committee may consider the following:

- The project’s ability to continue operations by accessing alternative sources of funding that are available if HUD CoC Program funding is not awarded.
- The impact on the CoC’s bed or unit inventory and overall resources to address homelessness if a project is not awarded CoC funding. Information will be provided regarding number of beds and units, amount of grant request, operating year dates, population served, and current unit utilization rate.

HomeBase will develop a process for providing information about projects to the NOFA Committee and guidelines for participation by applicants.

Any NOFA Committee recommendations to the CoC Board must be either:

- Consensus recommendations, or
- Recommendations based on a vote of at least 60% of the NOFA Committee members in attendance, in which case the vote must be recorded and given to the CoC Board alongside the recommendation of the voting majority as well as the grounds for opposition.
  - Each organization in attendance may cast one vote; each individual in attendance not representing an organization may cast one vote.

The CoC Board or its designee will approve the final project list for submission. The decision of the CoC Board will be final.
2017 Continuum of Care Program Grants
APPEALS PROCESS

The Review and Rank Panel Committee reviews all applications and ranks them for funding recommendations to HUD. That ranking decision will be communicated to all applicants by email by 5:00 pm on Saturday, September 2nd. All applicants are directed to contact HomeBase at sccnofa@homebaseccc.org or 415-788-7961, ext. 329, if no email notice is received.

1. Who May Appeal

An agency may appeal an “appealable ranking decision,” defined in the next paragraph, made by the Review and Rank Panel concerning a project application submitted by that agency. If the project was submitted by a collaboration of agencies, only one joint appeal may be made.

2. What May Be Appealed

“An appealable ranking decision” is a rank assigned by the Review and Rank Panel to a project that meets any of the following criteria:
   a) likely to result in the project not being funded, in whole or in part,
   b) places the project in the bottom 15% of Tier 1, or
   c) places the project in Tier 2.

3. Timing:

The ranking decision is communicated to all applicants by 5:00 pm on Saturday, September 2nd. Applicants have until 12:00 pm on Tuesday, September 5th to decide if they are going to appeal and notify HomeBase (sccnofa@homebaseccc.org) for more information, with a formal written appeal (no longer than 2 pages) due by Wednesday, September 6th at 5:00 pm. If an appeal will be filed, other agencies whose rank may be affected will be notified as a courtesy. Such agencies will not be able to file an appeal after the appeals process is complete. They may file an appeal within the original appeals timeline.

4. Initiating the Formal Appeal

The Formal Appeal must be submitted by 5:00 pm on Wednesday, September 6th to HomeBase at sccnofa@homebaseccc.org. The appeal document must consist of a short, written (no longer than 2 pages) statement of the agency’s appeal of the Review and Rank Panel Committee’s decision. The statement can be in the form of a letter, a memo, or an email transmittal.
5. **Members of the Appeal Panel**

A 3-member Appeals Panel will be selected from the CoC Board or its designees. These individuals have no conflict of interest in serving, as defined by the existing Review and Rank Panel Committee conflict of interest rules. Voting members of the Appeal Panel shall not serve simultaneously on the Review and Rank Panel Committee; however, a Review and Rank Panel member and a staff person of the Collaborative Applicant will participate in the Appeals Panel meeting to inform discussion.

6. **The Appeal Process, Including Involvement of Other Affected Agencies**

The Appeal Panel will conduct a telephone meeting with a representative or representatives of the agency/collaborative who filed the appeal to discuss it on Thursday, September 7th if needed. The Panel will then deliberate.

The Appeal Panel will inform appealing agencies of its decision by **Friday, September 8th at 12:00 pm**.

The CoC Board or its designee will approve the final project list for submission. The decision of the CoC Board will be final.
2017 Continuum of Care Program Grants
DETAILED APPLICATION SUBMISSION TIMELINE

This timeline highlights the steps that your agency will take to participate in the local competition for NOFA funding. Please mark these dates in your calendar!

8/1 at 1-3pm
TA Workshop for all new and renewal grant recipients
During this session, HomeBase will review all application materials. To receive materials electronically, please email sccnofa@homebaseccc.org

8/1
Enter E-SNAPS and start your project application (formerly Exhibit 2).
- E-snaps can be accessed at http://www.hud.gov/esnaps
- Please read all HUD-published guidance and training modules before calling HomeBase for technical assistance. The training modules can be accessed at https://www.hudexchange.info/e-snaps/guides/coc-program-competition-resources/
- Additional and updated information about the 2017 competition can be found at https://www.hudexchange.info/programs/e-snaps/fy-2017-coc-program-nofa-coc-program-competition/

8/14 by Noon
Submit Complete Application Package via email for Review and Rank
- Please see the 2017 Supplemental Application Form for a list of all the materials to submit.

PLEASE SUBMIT THESE MATERIALS to sccnofa@homebaseccc.org

LATE APPLICATIONS WILL RECEIVE 0 POINTS IN THE SCORING.
PLEASE PLAN AHEAD!

8/30 – 8/31
Review and Rank Interviews:
- Applicants will participate in an Interview with the Review and Rank Committee during the assigned time slots. These sessions are designed to permit the Review and Rank Committee to ask questions about your applications and to give applicants ideas about how to improve applications. You do not need to prepare a presentation; come prepared to engage in a discussion. You may bring as many people as you feel is necessary to represent your project well, but please be
sure to bring those who know the most about the application and supplemental materials.

- Applicants will be assigned a specific time to meet with the Review & Rank Panel. All appointments will be held at 3180 Newberry Drive, Suite 100, San Jose, California.

9/2 by 5pm  **Applicant Notification**
- Applicants will receive email notification of the results of the Review and Rank process.
- If you receive notification that your project will be placed on the ranked list, you should begin finalizing your application for submission.

9/5 by 12pm  **Notification of Appeals Due**
- Applicants who intend to appeal should contact HomeBase at sccnofa@homebaseccc.org to request scoring information.

9/6 by 5pm  **Appeals Due**
- Appeals to the Review and Rank decision must be submitted in writing to HomeBase at sccnofa@homebaseccc.org.
- The Appeals Panel will meet on September 7, 2017 and any revisions to the preliminary priority list will be sent out by midnight on September 8, 2017.

9/21 by 5pm  **Applications Finalized in E-Snaps**
- THIS INCLUDES ENSURING THAT ALL NECESSARY ATTACHMENTS ARE UPLOADED TO E-SNAPS. HomeBase will review every submission for omissions or inconsistencies and work with grant recipients to correct them. **During the final two weeks, please be sure that someone at your agency is available to answer last minute application questions!**

9/25  **CoC Consolidated Application Posted.**
- Complete consolidated application is posted on CoC website for public review.

9/28  **HUD deadline for all NOFA materials.**
SCORING TOOL FOR RENEWAL PROJECTS

2017 Continuum of Care Grants
RENEWAL HOUSING PROJECTS

Summary of Factors

<table>
<thead>
<tr>
<th>Threshold Requirements</th>
<th>Not Scored</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Outcomes Supporting System Performance Measures¹</td>
<td>55</td>
</tr>
<tr>
<td>2. Agency/Collaborative Capacity</td>
<td>20</td>
</tr>
<tr>
<td>3. HMIS Data Quality</td>
<td>25</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Component/Population-Type Prioritization Bonus Points² | Up to 17 per project

I. Threshold Requirements

<table>
<thead>
<tr>
<th>Threshold Criteria</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HMIS Implementation:</strong> Projects are required to participate in HMIS, unless the project is a victim-service agency, serving survivors of domestic violence, or a legal services agency.</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Coordinated Entry:</strong> Projects are required to participate in Coordinated Entry, when it is available for the project type.</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>HUD Threshold:</strong> All projects will be reviewed for compliance with the eligibility requirements of the CoC Interim Rule and Subsequent Notices, and must meet the threshold requirements outlined in the 2017 Notice of Funding Availability.</td>
<td>N/A</td>
</tr>
</tbody>
</table>

¹ All of the scoring factors in this tool measure projects’ contribution to improving Santa Clara County’s System Performance by strengthening the overall system of care, through data collection, coordination, prioritization and increasing resources available to end homelessness in Santa Clara County. Certain scoring factors relate to specific Performance Measures, as enumerated in each factor. Projects will be scored based on data in the CoC's HMIS, except for projects operated by victim service providers which will be scored based on data from the victim service provider’s comparable database.

² Bonus points help ensure fairness and equal footing across scoring tools, which otherwise strongly advantage projects without data, and support prioritization of proven strong performers, while encouraging reallocation of projects not advancing system performance.
II. **Detail**

1. **Outcomes Supporting System Performance Measures: 55 Points**

   Overall, has the project been performing satisfactorily and effectively addressing the need(s) for which it was designed? Keep in mind that outcomes will naturally be lower in a population with more severe needs. Such populations include persons with low or no income, current or past substance abuse, a history of victimization (e.g., domestic violence, sexual assault, childhood abuse), criminal histories, and chronic homelessness.

<table>
<thead>
<tr>
<th>1A: Utilization</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the project serving the number of homeless people it was designed to serve?</td>
<td>Excellent</td>
<td>10</td>
</tr>
<tr>
<td>• Report utilization of total project beds at four points during the year</td>
<td>Very Good</td>
<td>8</td>
</tr>
<tr>
<td>• Panelists may exercise discretion based on factors including but not limited to project size, population served, and facility status issues beyond the project’s sphere of influence</td>
<td>Good</td>
<td>6</td>
</tr>
<tr>
<td>HUD System Performance Measures 1, 3</td>
<td>Fair</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Poor</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1B: Housing Stability (PSH Only)</th>
<th>2017 PSH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Calculated based on HMIS data</td>
<td>&gt;98%</td>
<td>15</td>
</tr>
<tr>
<td>• Informed by supplemental information submitted as part of the proposal</td>
<td>96%-97.9%</td>
<td>13</td>
</tr>
<tr>
<td></td>
<td>94%-95.9%</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td>92%-93.9%</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>90%-91.9%</td>
<td>7</td>
</tr>
<tr>
<td>For permanent housing: The percentage of formerly homeless individuals who remain housed in the HUD permanent housing project or exited to other permanent housing, excluding participants who passed away.</td>
<td>85%-89.9%</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>80%-84.9%</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>75-79.9%</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>67.5-74.9%</td>
<td>2</td>
</tr>
<tr>
<td>HUD Goal: 80%</td>
<td>60-67.4%</td>
<td>1</td>
</tr>
<tr>
<td>Community Performance Measure: 90%</td>
<td>&lt;60%</td>
<td>0</td>
</tr>
</tbody>
</table>

*HUD System Performance Measures 3, 7*
### 1B: Housing Stability (RRH/TH Only)

- Calculated based on HMIS data
- Informed by supplemental information submitted as part of the proposal

<table>
<thead>
<tr>
<th>For rapid rehousing/transitional housing: The percentage of homeless persons who exit the project to/in a form of permanent housing, excluding participants who passed away.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Panelists may exercise discretion based on factors including but not limited to project size, the number of persons who exited the project, population served, and circumstances beyond the project’s sphere of influence.</td>
</tr>
<tr>
<td>Projects with no leavers will receive full points.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;95%</td>
<td>&gt;90%</td>
<td>15</td>
</tr>
<tr>
<td>92.5-94.9%</td>
<td>85-89.9%</td>
<td>13</td>
</tr>
<tr>
<td>90-92.4%</td>
<td>80-84.9%</td>
<td>11</td>
</tr>
<tr>
<td>85-89.9%</td>
<td>75-79.9%</td>
<td>9</td>
</tr>
<tr>
<td>80-84.9%</td>
<td>70-74.9%</td>
<td>7</td>
</tr>
<tr>
<td>75-79.9%</td>
<td>65-69.9%</td>
<td>5</td>
</tr>
<tr>
<td>70-74.9%</td>
<td>62.5%-64.9%</td>
<td>4</td>
</tr>
<tr>
<td>65-69.9%</td>
<td>60%-62.4%</td>
<td>3</td>
</tr>
<tr>
<td>60-64.9%</td>
<td>55%-59.9%</td>
<td>2</td>
</tr>
<tr>
<td>55-59.9%</td>
<td>50%-54.9%</td>
<td>1</td>
</tr>
<tr>
<td>&lt;55%</td>
<td>&lt;50%</td>
<td>0</td>
</tr>
</tbody>
</table>

**HUD Goal:** 80%

**Community Performance Measure:**
- RRH: 85%
- TH: 75%

**HUD System Performance Measures 1, 3, 7**
### 1C: Returns to Homelessness Within 12 Months

The percentage of leavers to permanent housing destinations in the year prior to the measurement period who returned to a homeless project in HMIS within 12 months.

- Panelists may exercise discretion based on factors including but not limited to project size, household size, and the number of persons who exited the project in the prior year.
- Projects with no leavers in the prior year and projects without at least 2 years of performance data will receive full points.

<table>
<thead>
<tr>
<th>2017 PSH Scale</th>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;10%</td>
<td>&lt;10%</td>
<td>&lt;15%</td>
<td>5</td>
</tr>
<tr>
<td>10-29.9%</td>
<td>10-29.9%</td>
<td>15-34.9%</td>
<td>4</td>
</tr>
<tr>
<td>30-39.9%</td>
<td>30-39.9%</td>
<td>35-44.9%</td>
<td>3</td>
</tr>
<tr>
<td>40-59.9%</td>
<td>40-49.9%</td>
<td>45-54.9%</td>
<td>2</td>
</tr>
<tr>
<td>60-70%</td>
<td>50-60%</td>
<td>55-70%</td>
<td>1</td>
</tr>
<tr>
<td>&gt;70%</td>
<td>&gt;60%</td>
<td>&gt;70%</td>
<td>0</td>
</tr>
</tbody>
</table>

**Community Performance Measure:**
- PSH: 2%
- RRH: 2%
- TH: 6%

**HUD System Performance Measure 2**

### 1D: Client Cash Income Change

Panelists may score programs up or down one point from the scaled score below.

The percentage of stayers/leavers that increase cash income from entry to latest status/exit

<table>
<thead>
<tr>
<th>2017 PSH Scale</th>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;61.5%</td>
<td>&gt;61.5%</td>
<td>&gt;61.5%</td>
<td>5</td>
</tr>
<tr>
<td>54-61.4%</td>
<td>54-61.4%</td>
<td>54-61.4%</td>
<td>4</td>
</tr>
</tbody>
</table>

**HUD Goal (Employment):** 20%

**HUD Goal (Non-Employment):** 54%

**No Related Community Performance Measure**

**HUD System Performance Measure 4**

<table>
<thead>
<tr>
<th></th>
<th>2017 PSH Scale</th>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>49-53.9%</td>
<td>49-53.9%</td>
<td>49-53.9%</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>44-48.9%</td>
<td>44-48.9%</td>
<td>44-48.9%</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>&lt;44%</td>
<td>&lt;44%</td>
<td>&lt;44%</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>
**1E: Non-Cash Mainstream Benefits**
Panelists may score programs up or down one point from the scaled score below.

<table>
<thead>
<tr>
<th>2017 PSH Scale</th>
<th>2017 RRH Scale</th>
<th>2017 Youth TH Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;90%</td>
<td>&gt;61%</td>
<td>&gt;71%</td>
<td>5</td>
</tr>
<tr>
<td>80-89.9%</td>
<td>51-60.9%</td>
<td>61-70.9%</td>
<td>4</td>
</tr>
</tbody>
</table>

The percentage of Stayers/Leavers with non-cash benefit sources.

**HUD Goal:** 54%
**CoC Goal:** 54%

No Related Community Performance Measure

**HUD System Performance Measure 2, 7b**

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>75-79.9%</td>
</tr>
<tr>
<td>70-74.9%</td>
</tr>
<tr>
<td>&lt;70%</td>
</tr>
</tbody>
</table>

**1F: Alignment with Housing First Principles**

- This will be scored based on written policies and procedures submitted by the project and a narrative response demonstrating alignment with Housing First principles.

**5 Points:** To what extent do the project’s written policies ensure that participants are not screened out based on the following criteria?
- Having too little or no income
- Active, or history of, substance use or a substance use disorder
- Having a criminal record (with exceptions for state-mandated restrictions)
- History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement)

**5 Points:** To what extent do the project’s written policies ensure that participants are not terminated from the program for the following reasons?
- Failure to participate in supportive services
- Failure to make progress on a service plan
- Loss of income or failure to improve income
- Being a survivor of domestic violence
- Any other activity not covered in a lease agreement typically found in the project’s geographic area

**5 Points:** Does the project take proactive steps to minimize barriers to entry and retention?

**HUD System Performance Measures 1, 3, 7**
2. **Agency/Collaborative Capacity: 20 Points**

<table>
<thead>
<tr>
<th>2A: Compliance</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent do the agencies (especially the lead agency) have:</td>
<td></td>
</tr>
<tr>
<td>• Any outstanding financial audit findings or concerns?</td>
<td></td>
</tr>
<tr>
<td>• Any outstanding HUD monitoring findings or concerns and/or any history of</td>
<td></td>
</tr>
<tr>
<td>sanctions imposed by HUD, including – but not limited to – suspending</td>
<td></td>
</tr>
<tr>
<td>disbursements (e.g., freezing LOCCS), requiring repayment of grant funds,</td>
<td></td>
</tr>
<tr>
<td>or de-obligating grant funds due to performance issues?</td>
<td></td>
</tr>
<tr>
<td>• If yes, what steps is the agency taking to resolve the findings or</td>
<td></td>
</tr>
<tr>
<td>concerns and to what extent has the program advised the Collaborative</td>
<td></td>
</tr>
<tr>
<td>Applicant of issues identified by HUD?</td>
<td>5</td>
</tr>
</tbody>
</table>

If an agency has no outstanding audit or monitoring findings or concerns and no history of sanctions imposed by HUD, the agency should receive full points.

<table>
<thead>
<tr>
<th>2B: Unspent Grant Funds</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Panelists may score programs up or down one point from the scaled score below.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Has the agency left project grant funds unspent in the past 3 years?</td>
<td>0-3%</td>
<td>5</td>
</tr>
<tr>
<td>• Consider if the program is running at capacity (at four points during the year), and if the project receives leasing or rental assistance.</td>
<td>3.1-9%</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>9.1-15%</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>15-100%</td>
<td>0</td>
</tr>
</tbody>
</table>
2C: Alignment with CoC Priorities
- Agencies can submit an essay answer demonstrating CoC alignment.

<table>
<thead>
<tr>
<th>2017 Points</th>
<th>Does the project and agency align and support CoC priorities, including but not limited to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>• CoC participation (meeting attendance)</td>
</tr>
<tr>
<td></td>
<td>• Services provided or described are adequate to meet the needs of the population served, as indicated by:</td>
</tr>
<tr>
<td></td>
<td>o Case manager to client ratio</td>
</tr>
<tr>
<td></td>
<td>o The type of services provided (substance use treatment, trauma informed care, youth-targeted programming, etc)</td>
</tr>
<tr>
<td></td>
<td>• The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example:</td>
</tr>
<tr>
<td></td>
<td>o Project employs landlord engagement strategies</td>
</tr>
<tr>
<td></td>
<td>o Project proposes to increase the number of persons served</td>
</tr>
<tr>
<td></td>
<td>o Contribution of project to improving system performance</td>
</tr>
<tr>
<td></td>
<td>o Project has or participates in a move on program or strategy</td>
</tr>
<tr>
<td></td>
<td>• The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population</td>
</tr>
<tr>
<td></td>
<td>• Sources of match funding are stable and sustainable</td>
</tr>
</tbody>
</table>

3. **HMIS Data Quality: 25 Points**

3A: **Exits to Known Destinations**
The numerical scale is a guide to support the panelists in scoring; panelists can exercise discretion where, for example, there are very few project exits.

<table>
<thead>
<tr>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent (~ 95-100%)</td>
<td>5</td>
</tr>
<tr>
<td>Very Good (~90-94.9%)</td>
<td>4</td>
</tr>
<tr>
<td>Good (~80-89.9%)</td>
<td>3</td>
</tr>
<tr>
<td>Fair (~60-79.9%)</td>
<td>2</td>
</tr>
<tr>
<td>Poor (~40-59.9%)</td>
<td>1</td>
</tr>
<tr>
<td>Very Poor (~&lt;40%)</td>
<td>0</td>
</tr>
</tbody>
</table>

**Percentage of clients who exit to known destinations.**

**PSH with 0 exits will receive full points.**
### 3B: Complete Data
Panelists may score programs up or down one point from the scaled score below.

<table>
<thead>
<tr>
<th>Percentage of complete data (not null/missing, “don’t know” or “refused” data), except for Social Security numbers.</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>99.5-100%</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>97-99.4%</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>94.5-96.9%</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>92-94.4%</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>90.1-91.9%</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>&lt;90%</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

Community goal: 95%

### 3C: Known Income
The numerical scale is a guide to support the panelists in scoring; panelists can exercise discretion where, for example, a project serves a very small number of people.

<table>
<thead>
<tr>
<th>Percentage of adult clients with known income at latest status or exit.</th>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent (~ 95-100%)</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Very Good (~90-94.9%)</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Good (~80-89.9%)</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Fair (~60-79.9%)</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Poor (~40-59.9%)</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Very Poor (~&lt;40%)</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**PSH with 0 exits will receive full points.**
### 3D: Known Benefits

The numerical scale is a guide to support the panelists in scoring; panelists can exercise discretion where, for example, a project serves a very small number of people.

| Percentage of adult clients with known benefits at latest status or exit. |
|---------------------------------|------------------------|
| 2017 Scale                      | 2017 Points            |
| **Excellent (~ 95-100%)**       | 5                      |
| **Very Good (~90-94.9%)**       | 4                      |
| **Good (~80-89.9%)**            | 3                      |
| **Fair (~60-79.9%)**            | 2                      |
| **Poor (~40-59.9%)**            | 1                      |
| **Very Poor (~<40%)**           | 0                      |

**PSH with 0 exits will receive full points.**

4. **Component/Population Type Prioritization: Up to 17 Bonus Points**

#### 4A: Permanent Housing

Permanent supportive housing will be awarded 10 bonus points to demonstrate the CoC’s funding priorities.

Rapid rehousing projects will be awarded 5 bonus points to demonstrate the CoC’s funding priorities.

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
</tr>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

#### 4B: Chronic Homelessness

Percentage of beds dedicated to/prioritized for chronically homeless persons.

**DedicatedPLUS PSH projects will receive full points.**

<table>
<thead>
<tr>
<th>2017 Scale</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>100%</td>
<td>5</td>
</tr>
<tr>
<td>&gt;75%</td>
<td>3</td>
</tr>
</tbody>
</table>

4C: Other Priority Populations

Is the program dedicated to a priority population?

- Youth
- Survivors of Domestic Violence
- Families with Children
- Veterans

**Shaded Factors are scored by the Pre-NOFA Panel**

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
</tr>
</tbody>
</table>
SCORING TOOL FOR NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER PROJECTS

2017 Continuum of Care Grants
NEW/TRANSFER AND FIRST TIME RENEWAL HOUSING PROJECTS

Summary of Factors

<table>
<thead>
<tr>
<th>Threshold Requirements</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Project’s Work Consistent with Community Needs</td>
<td>25</td>
</tr>
<tr>
<td>2. Project Ability to Enhance System Performance</td>
<td>40</td>
</tr>
<tr>
<td>3. Agency/Collaborative Capacity to Enhance System Performance</td>
<td>25</td>
</tr>
<tr>
<td>4. HMIS Participation</td>
<td>10</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
</tr>
<tr>
<td>5. Component/Population-Type Prioritization Bonus Points</td>
<td>Up to 10 Per Project</td>
</tr>
</tbody>
</table>

I. Threshold Requirements

<table>
<thead>
<tr>
<th>Threshold Criteria</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>• These factors are required, but not scored. If the project indicates “no” for any threshold criteria, it is ineligible for CoC funding.</td>
<td></td>
</tr>
<tr>
<td>HMIS Implementation: Projects are required to participate in HMIS, unless the project is a victim-service agency, serving survivors of domestic violence, or a legal services agency.</td>
<td>N/A</td>
</tr>
<tr>
<td>Coordinated Entry: Projects are required to participate in Coordinated Entry, when it is available for the project type.</td>
<td>N/A</td>
</tr>
<tr>
<td>Eligible Applicant: Applicants and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.</td>
<td>N/A</td>
</tr>
<tr>
<td>Eligible New Project Type: If the project is a new project in 2017, it is an eligible new project type authorized by the FY 2017 CoC Program NOFA: Permanent Supportive Housing (PSH), Rapid Re-Housing (RRH), or joint Transitional Housing-Rapid Re-Housing (TH-RRH) serving eligible populations; Homeless Management Information System (HMIS); or Supportive Services Only for Coordinated Entry (CE).</td>
<td>N/A</td>
</tr>
</tbody>
</table>

3 All of the scoring factors in this tool measure projects’ anticipated contribution to improving Santa Clara County’s System Performance by strengthening the overall system of care, through data collection, coordination, prioritization and increasing resources available to end homelessness in Santa Clara County. Certain scoring factors relate to specific Performance Measures, as enumerated in each factor.

4 Bonus points help ensure fairness and equal footing across scoring tools, which otherwise strongly advantage projects without data, and support prioritization of proven strong performers, while encouraging reallocation of projects not advancing system performance.

35
SCORING TOOL FOR NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER PROJECTS

<table>
<thead>
<tr>
<th>HUD Threshold: All projects will be reviewed for compliance with the eligibility requirements of the CoC Interim Rule and Subsequent Notices, and must meet the threshold requirements outlined in the 2017 Notice of Funding Availability.</th>
<th>N/A</th>
</tr>
</thead>
</table>

II. Detail

1. Project’s Work Consistent with Community Needs: 25 Points

<table>
<thead>
<tr>
<th>1A: Renewable Activities</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extent to which the project utilizes the grant funds for renewable activities (e.g., leasing rental subsidies, and housing operations) as opposed to non-renewable funds (e.g., acquisition, construction, and rehabilitation).</td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1B: Unmet Need</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extent to which the project addresses an unmet need by serving an underserved area of the County, including areas outside downtown San Jose.</td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1C: Project Readiness</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>The project will be ready to start by HUD’s statutory deadlines. Consider: • Regulatory obstacles such as tenant displacement or relocation, environmental or zoning issues anticipated.</td>
<td>5</td>
</tr>
</tbody>
</table>

2. Project Ability to Enhance System Performance: 40 Points

Consider the overall design of the project in light of its outcome objectives, and the Continuum of Care’s goal that permanent housing programs for homeless people result in stable housing and increased income (through benefits or employment).

<table>
<thead>
<tr>
<th>2A: Population Served</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population to be served is well defined and eligible, and will prioritize serving project participants with the highest need. • For TH-RRH projects, target population is a priority population for this project type -- Transition Aged Youth (TAY), households fleeing or attempting to flee domestic violence or human trafficking.</td>
<td>5</td>
</tr>
</tbody>
</table>

*HUD System Performance Measures 1, 7*
### 2B: Program Design

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
</tr>
</tbody>
</table>

Program design includes provision of comprehensive/intensive case management and appropriate supportive services of the appropriate type, scale and location to meet the needs of program participants (as well as transportation if necessary), using a Housing First model. Consider:

- Is the project staffed appropriately to provide the services?
- Is the staff trained to meet the needs of the population to be served?
- Does the program include involvement of clientele in designing and operating a low barrier program?
- Is the program design intentionally inclusive of and accessible to all eligible clients?
- Are links to other services described?
- Does the project use evidence-based practices?

**HUD System Performance Measures 2, 3, 7b**

### 2C: Program Outcomes

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

Program outcomes are realistic but sufficiently challenging given the scale of the project. Outcomes are measurable and appropriate to the population being served. Minimum project outcomes should include:

- The percentage of formerly homeless individuals who remain housed in the HUD permanent housing project at the end of the operating year or exited to other permanent housing is at least 90%.
- The percentage of leavers that increase employment income from entry to exit is at least 20% for PSH and 38% for RRH.
- The percentage of leavers that increase non-employment income from entry to exit is at least 54%.
- The percent of adult leavers and stayers in all CoC-funded projects that have non-cash mainstream benefits is at least 80% for PSH and 51% for RRH.

**HUD System Performance Measures 2, 3, 4, 7b**

### 2D: Housing

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

Housing where participants will reside is fully described and appropriate to the program design proposed. Consider:

- Is the project staffed appropriately to operate the housing?
- Is the staff trained to meet the needs of the population to be served?
- Will the program be physically accessible to persons with disabilities?

**HUD System Performance Measures 2, 3, 7b**

### 2E: Policies and Procedures

<table>
<thead>
<tr>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

Program policies and procedures are fully described and consistent with the program design proposed. Consider:

- Are unhoused or formerly unhoused people involved in designing the
<table>
<thead>
<tr>
<th>Program?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Are tenants involved in policy decisions related to the program and in operating the program?</td>
</tr>
<tr>
<td>• Do policies and procedures ensure homeless clients will be individually assisted to pursue mainstream benefits?</td>
</tr>
<tr>
<td>• Do policies and procedures actively reduce barriers to access and retention?</td>
</tr>
</tbody>
</table>

*HUD System Performance Measures 2, 3, 4, 7*

<table>
<thead>
<tr>
<th>2F: Alignment with Housing First Principles</th>
</tr>
</thead>
<tbody>
<tr>
<td>• This will be scored based on written policies and procedures submitted by the project and responses to supplemental questions.</td>
</tr>
</tbody>
</table>

**5 Points:** To what extent do the project’s written policies ensure that participants are not screened out based on the following criteria?

- Having too little or no income
- Active, or history of, substance use or a substance use disorder
- Having a criminal record (with exceptions for state-mandated restrictions)
- History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement)

**5 Points:** To what extent do the project’s written policies ensure that participants are not terminated from the program for the following reasons?

- Failure to participate in supportive services
- Failure to make progress on a service plan
- Loss of income or failure to improve income
- Being a survivor of domestic violence
- Any other activity not covered in a lease agreement typically found in the project’s geographic area

*HUD System Performance Measures 1, 3, 7*

**2017 Points**

10
### 3. Agency/Collaborative Capacity to Enhance System Performance: 25 Points

#### 3A: Administrative Capacity

<table>
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<tr>
<th>Do the agencies (especially the lead agency)/does the agency have the expertise, staff, procedural, and administrative structure needed to meet all administrative requirements? Consider:</th>
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If an agency has no outstanding audit or monitoring findings or concerns and no history of sanctions imposed by HUD, the agency should receive full points.

#### 3C: Alignment with CoC Priorities

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<th>Agencies can submit an essay answer demonstrating CoC alignment.</th>
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<td>• Sources of match funding are stable and sustainable</td>
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4. **HMIS Participation: 10 Points**

- Does the application indicate clearly that the agency intends to participate in HMIS in the event that the project is funded? Projects prohibited by law from using HMIS will receive points based on use of a parallel database.
- If the agency has other programs, do they demonstrate HMIS participation?
  
  Consider:
  - Percentage of null/missing, “don’t know,” or “refused” data
  - The percentage of clients that exit to known destinations
  - The percentage of clients with known income and benefits

5. **Component/Population-Type Prioritization: Up to 10 Bonus Points for held-harmless transfer projects and those identified as priority new projects in FY 2016 or 2017**

<table>
<thead>
<tr>
<th>5A: Permanent Supportive Housing</th>
<th>2017 Points</th>
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<tbody>
<tr>
<td>Permanent supportive housing serving chronically homeless individuals and families will be awarded bonus points to demonstrate the CoC’s funding priorities.</td>
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<table>
<thead>
<tr>
<th>5B: Rapid Rehousing</th>
<th>2017 Points</th>
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<tr>
<td>Rapid rehousing projects serving high priority populations (such as families and transition-aged youth coming directly from streets, shelter, or other places not meant for human habitation, or persons fleeing domestic violence or trafficking) will be awarded bonus points to demonstrate the CoC’s funding priorities. These points will not be awarded to joint TH-RRH projects.</td>
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**Shaded Factors are scored by the Pre-NOFA Panel**
## 2017 Continuum of Care Grants
### NEW COORDINATED ENTRY PROJECTS

<table>
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<th>Summary of Factors</th>
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<tr>
<td>Threshold Requirements</td>
<td>Not Scored</td>
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</tr>
<tr>
<td>2. Project Ability to Enhance System Performance</td>
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</tr>
<tr>
<td>3. Agency/Collaborative Capacity to Enhance System Performance</td>
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<tr>
<td>Total</td>
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### I. Threshold Requirements

**Threshold Criteria**
- These factors are required, but not scored. If the project indicates “no” for any threshold criteria, it is ineligible for CoC funding.

**Eligible Applicant:** Applicants and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

**Eligible New Project Type:** If the project is a new project in 2017, it is either:
- Permanent supportive housing, serving primarily chronically homeless individuals and families (including youth);
- Rapid rehousing, serving individuals and families (including youth) who enter directly from streets or shelters, are fleeing domestic violence, or otherwise meet the criteria of paragraph (4) of the definition of homelessness;
- Joint component types, which will combine transitional housing and rapid rehousing into a single project to serve individuals and families experiencing homelessness;
- Supportive services only projects for coordinated assessment systems (reallocation only); or
- Homeless Management Information System (HMIS) projects (reallocation only).

### II. Detail

#### 1. Project’s Work Consistent with Community Needs: 20 Points

**1A: Renewable Activities**
- Extent to which the project utilizes the grant funds for renewable activities (e.g., leasing rental subsidies, and housing operations) as opposed to non-renewable funds (e.g., acquisition, construction, and rehabilitation).  
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### SCORING TOOL FOR NEW COORDINATED ENTRY PROJECTS

**1B: Unmet Need**  
Extent to which the project addresses an unmet need by serving an under-served area of the County, including areas outside downtown San Jose.  

| 2017 Points | 10 |

**1C: Project Readiness**  
The project will be ready to start by HUD’s statutory deadlines. Consider:  
- Regulatory obstacles such as tenant displacement or relocation, environmental or zoning issues anticipated.

| 2017 Points | 5 |

---

#### 2. Project Ability to Enhance System Performance 50: Points

Consider the overall design of the project in light of its outcome objectives, and the Continuum of Care’s goal that services for homeless people result in stable housing and resources be prioritized for households with the highest needs.

**2A: Population Served**  
Population to be served is well defined and eligible, and will prioritize serving project participants with the highest need.

| 2017 Points | 5 |

**2B: Program Design**  
Program design sets forth the community’s approach to coordinated entry including how outreach, access, assessment, and referrals will be conducted and how community partners will be involved. Consider:  
- Does the design reflect an effective approach to outreach, access, assessment and referrals?  
- How will community partners be involved in coordinated entry?  
- How will other funds be leveraged to support CoC program funds during implementation and operation?  
- Is the project staffed appropriately to achieve its goals?  
- Does the program include involvement of clientele in designing and operating a low barrier system?  
- Is the program design intentionally inclusive of and accessible to all eligible clients?  
- Does the project use evidence-based practices?  

| 2017 Points | 10 |

**2C: Program Outcomes**  
Does the estimated schedule for proposed activities, management, and methods proposed assure effective and timely completion of the proposed project? Consider:  
- Are outcomes realistic but sufficiently challenging given the scale of the project?  
- Are outcomes measurable and appropriate to the population being served?  
- How will full capacity be achieved over the grant term?

| 2017 Points | 5 |
### 2D: Geographic Area

<table>
<thead>
<tr>
<th>Question</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will the proposed coordinated entry project cover the CoC’s entire geographic area?</td>
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</tr>
</tbody>
</table>

### 2E: Policies and Procedures

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<th>2017 Points</th>
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</thead>
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<tr>
<td>Program policies and procedures are fully described and consistent with the program design proposed. Consider:</td>
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</tr>
<tr>
<td>• How will the coordinated entry be easily accessible to individuals and families with the highest barriers to access?</td>
<td></td>
</tr>
<tr>
<td>• How will the coordinated entry include affirmative fair housing strategies?</td>
<td></td>
</tr>
</tbody>
</table>

### 2F: Advertisement Strategy

<table>
<thead>
<tr>
<th>Question</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the advertisement strategy for coordinated entry designed to reach those with the highest barriers to accessing assistance, including persons with disabilities and persons with limited English proficiency?</td>
<td>5</td>
</tr>
</tbody>
</table>

### 2G: Standardized Assessment

<table>
<thead>
<tr>
<th>Question</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the standardized assessment process that will be used by coordinated entry comprehensive according to the housing and services available in the community and standardized in structure, delivery, and evaluation across all assessments conducted using coordinated entry?</td>
<td>5</td>
</tr>
<tr>
<td>Note: Exceptions to standardization can be made for the following subpopulations: individuals, households with children, youth, and persons fleeing domestic violence.</td>
<td></td>
</tr>
</tbody>
</table>

### 2H: Referral Process

<table>
<thead>
<tr>
<th>Question</th>
<th>2017 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the coordinated entry process ensure participants are directed to appropriate housing and/or services? Consider:</td>
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</tr>
<tr>
<td>• Will the referral process for homelessness resources be coordinated across CoC and ESG providers?</td>
<td></td>
</tr>
<tr>
<td>• Will the process include a list of all available resources and uniform decision making?</td>
<td></td>
</tr>
<tr>
<td>• How will the process include program participant choice?</td>
<td></td>
</tr>
<tr>
<td>• Will there be a process to reconcile unsuccessful or rejected placements?</td>
<td></td>
</tr>
</tbody>
</table>
## 2I: Housing First

<table>
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<tr>
<th>2017 Points</th>
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</thead>
<tbody>
<tr>
<td><strong>Will the coordinated entry use a low barrier approach that does not screen out participants based on the following criteria:</strong></td>
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</tr>
<tr>
<td>• Having little or no income</td>
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<td>• Active, or history of, substance abuse</td>
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<td>• Having a criminal record (exceptions for state-mandated restrictions)</td>
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<td>• History of experiencing domestic violence (e.g., lack of protective order)</td>
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## 3. Agency/Collaborative Capacity to Enhance System Performance: 25 Points

### 3A: Administrative Capacity

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<tr>
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<td><strong>Do the agencies (especially the lead agency)/does the agency have the expertise, staff, procedural, and administrative structure needed to meet all administrative requirements? Consider:</strong></td>
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### 3B: Compliance

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<td><strong>To what extent do the agencies (especially the lead agency)/does the agency have:</strong></td>
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If an agency has no outstanding audit or monitoring findings or concerns and no history of sanctions imposed by HUD, the agency should receive full points.
3C: Alignment with CoC Priorities

- Agencies can submit an essay answer demonstrating CoC alignment.

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Does the project and agency align and support CoC priorities, including but not limited to:

- CoC participation (meeting attendance)
- Services provided or described are adequate to meet the needs of the population served, as indicated by:
  - Case manager to client ratio
  - The type of services provided (substance use treatment, trauma informed care, youth-targeted programming, etc)
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- Sources of match funding are stable and sustainable

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## SCORING TOOL FOR NEW HMIS PROJECTS

### 2017 Continuum of Care Grants

#### NEW HMIS PROJECTS

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| II. Detail                                             |             |
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| 4. **Project’s Work Consistent with Community Needs**: 20 Points |             |

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Updated July 25, 2017
### 1B: Unmet Need

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### 1C: Project Readiness

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| The project will be ready to start by HUD’s statutory deadlines. Consider:  
- Regulatory obstacles such as tenant displacement or relocation, environmental or zoning issues anticipated. | 5 |

### 5. Project Ability to Enhance System Performance: 55 Points

Consider the overall design of the project in light of its outcome objectives, and the Continuum of Care’s goal that services for homeless people result in stable housing and resources be prioritized for households with the highest needs.

### 2A: Design

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| Consider:  
- Will the project increase HMIS capacity and functionality?  
- Has the agency indicated its intent to improve agency and CoC access to data in a form that can be analyzed and assist the Continuum of Care in assessing homeless needs, allocating resources, and coordinating services? | 15 |

### 2B: Data Quality

<table>
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<tr>
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| Consider:  
- Has the agency indicated that the Data Quality for the system will be within an acceptable range?  
- Will the reports produced for the Continuum of Care and for HUD be useful and satisfactory to meet the requirements for the CoC obligations (AHAR, PIT, HIC, APR, CAPER, etc.)?  
- Does the HMIS collect all Universal Data Elements as set forth in the HMIS Data Standards?  
- Does the HMIS un-duplicate client records? | 20 |

### 2C: Training and Support

<table>
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<tr>
<td>Has the agency indicated its intent to conduct trainings and otherwise assist projects to move into compliance with HUD HMIS Data Standards?</td>
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### 2D: Managing Confidential and Critical Data

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**Updated July 25, 2017**
### 6. Agency/Collaborative Capacity: 25 Points

#### 3A: Administrative Capacity

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This form and the requested attachments are due on August 14, 2017 by 12:00 p.m. (Noon) to HomeBase via email. Please send documents in PDF format to sccnofa@homebaseccc.org

LATE APPLICATIONS MAY BE CONSIDERED WHEN SCORING AGENCY CAPACITY.

<table>
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<tr>
<th>Applicant(s) Name(s):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
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</thead>
<tbody>
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Please submit the following:

1. The documents requested by the Documentation Checklist for each project or agency (separate PDF for each document)

2. The appropriate Supplemental Application and accompanying responses for each project – either:
   - Supplemental Application for Renewal Projects,
   - Supplemental Application for New/Transfer/First-Time-Renewal Projects,
   - Supplemental Application for New Coordinated Entry Projects, OR
   - Supplemental Application for New HMIS Projects.

All written narrative responses should be within the page limitations specified, single spaced in 11-point font, with 1” margins.
SUPPLEMENTAL APPLICATION DOCUMENTATION CHECKLIST (ALL APPLICANTS)

DOCUMENTATION CHECKLIST

All applicants - please submit electronic copies via email of the following documents (separate PDF for each document):

FOR EACH PROJECT:

☐ The Supplemental Application Cover Sheet and Documentation Checklist (this form)

☐ The appropriate “Renewal Project,” “New/Transfer/First-Time-Renewal Project,” “New Coordinated Entry Project,” or “New HMIS Project” Supplemental Application Form

☐ The full project application (formerly known as “Exhibit 2”) from e-snaps

➢ IMPORTANT NOTE: Please DO NOT hit submit in e-snaps until after the local competition

FOR EACH AGENCY:

☐ Any HUD Monitoring Letters relating to any of your agency’s projects and correspondence about any findings or concerns (if not already submitted on or around April 28, 2017)

☐ Your agency’s most recent financial audit and management letter or an explanation regarding why there has not been an audit (if not already submitted on or around April 28, 2017)

FOR RENEWAL PROJECTS AND TRANSFER PROJECTS SUBMITTING THE “NEW/TRANSFER/FIRST-TIME – RENEWAL PROJECT” SUPPLEMENTAL APPLICATION:

☐ The program’s most recent Annual Performance Report (APR) submitted to HUD, if any

FOR NEW PROJECTS:

☐ Written policies and procedures that will apply to the program and which demonstrate Housing First alignment, as described within Factor 2F
2017 Continuum of Care Grants
Supplemental Application
RENEWAL APPLICANTS*

*PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA

- Second time renewal OR
- Second time renewal after transfer, with a complete year of data for calendar year 2016

All other housing projects, please use the application for “NEW/TRANSFER/FIRST-TIME-RENEWAL” projects.

THRESHOLD REQUIREMENTS

In addition to the scoring criteria, all renewal projects must meet threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. In order to be scored in the 2017 competition, all renewal projects must meet the following thresholds. Please check a box in each category to confirm the truth of the following:

HMIS Implementation

☐ Project has full and active HMIS participation (unless the project is a victim service provider prohibited from entering client-level data in HMIS), meaning:
  - Every HMIS user of the project has passed the annual HMIS recertification exam; and
  - The project’s data quality report card score is at least a C, unless the project is a victim services agency. This factor may be verified by the HMIS Lead.

OR

☐ If the project is a victim service provider prohibited from entering client-level data in HMIS, the project uses a comparable database system.

Coordinated Entry Participation

☐ Project is already participating in Coordinated Entry.

OR

☐ Project agrees to participate in Coordinated Entry when it is available for the project type.

HUD Threshold

☐ Project complies with eligibility requirements of the CoC Interim Rule and Subsequent Notices, and meets the threshold requirements outlined in the 2017 Notice of Funding Availability (pp. 29-37).

If you are unable to check one of the boxes above, please provide an explanation. (1-page limit)
SUPPLEMENTAL APPLICATION (RENEWAL APPLICANTS ONLY)

SCORING FACTORS

Factor 2B  If this information was not already provided in response to the Request for Information (RFI): What was the total amount expended of HUD CoC funds for this grant in the 2015 grant year?

Factor 4C  Is the project dedicated to any of the following populations (check all that apply)?

☐ Youth
☐ Survivors of Domestic Violence
☐ Families with Children
☐ Veterans
☐ None of the Above

NARRATIVE RESPONSE TO PRELIMINARY AND ANTICIPATED SCORES (3-PAGE LIMIT)

You may provide a narrative of up to 3 pages to supplement the information contained in your HMIS Data/Project Evaluation Report regarding your program’s successes in the past operating year. Applicants may use this opportunity to direct the Review and Rank Committee to explanatory or qualifying information regarding those scoring factors on which their project may not score perfectly and to encourage Panelists to exercise discretion in changing the scores for those factors.

Projects will be provided preliminary scores only for those scoring factors that are pre-scored or scaled based on HMIS data. Projects are encouraged to provide explanatory information for any scoring factors they believe may not accurately reflect performance, including those for which they did not receive preliminary scores.

Applicants may use data and past performance information to support their arguments (e.g., information regarding the special nature of the population served, unusual or unforeseeable circumstances beyond the project’s control, or other reasons the project’s data does not adequately reflect its work). Please note that preliminary scores may go UP or DOWN during the Committee’s review.
**PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA**

- New projects; **OR**
- New expansion projects; **OR**
- Renewal projects that did not have a complete year of data for calendar year 2016; **OR**
- Transfer projects that did not have a complete year of post-transfer data (i.e., data relating to performance AFTER transfer to the project’s current agency) for calendar year 2016.

All other housing projects, please use the application for “RENEWAL” projects.

**FUNDING REQUEST TYPE**

Is this application for reallocated funding or Permanent Housing Bonus funding, or would you like it to be considered for both opportunities?

- [ ] Reallocated funding
- [ ] Bonus funding
- [ ] Consider for both reallocated funding and bonus funding
- [ ] Transfer of an existing grant
- [ ] None of the Above: renewal or transfer project without a full year of data

**THRESHOLD REQUIREMENTS**

In addition to the scoring criteria, all projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. Please check a box in each category to confirm the truth of the following:

**HMIS Implementation**

- [ ] The project (unless a victim service provider prohibited from entering client-level data in HMIS) agrees to full and active participate in the CoC’s HMIS, which must already be implemented prior to HUD executing a grant agreement;

  **OR**

- [ ] If the project is a victim service provider prohibited from entering client-level data in HMIS, the project agrees to use a comparable database.
Coordinated Entry Participation

☐ The project agrees to participate in the CoC’s coordinated entry system, which must already be implemented prior to HUD executing a grant agreement.

Eligible Applicant

☐ Applicant and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

Eligible New Project Type

The application proposes:

☐ Permanent supportive housing where 100 percent of the beds are dedicated to chronic homelessness;

OR

☐ DedicatedPLUS permanent supportive housing where 100 percent of the beds are dedicated to serve individuals with disabilities and families in which one adult or child has a disability, including unaccompanied homeless youth, that at intake are:

- Experiencing chronic homelessness;
- Residing in a transitional housing project that will be eliminated and meets the definition of chronically homeless in effect at the time in which the individual or family entered the transitional housing project;
- Residing in a place not meant for human habitation, emergency shelter, or safe haven; but the individuals or families experiencing chronic homelessness had been admitted and enrolled in a permanent housing project within the last year and were unable to maintain a housing placement;
- Residing in transitional housing funded by a Joint TH and PH-RRH component project and who were experiencing chronic homelessness prior to entering the project;
- Residing and has resided in a place not meant for human habitation, a safe haven, or emergency shelter for at least 12 months in the last three years, but has not done so on four separate occasions; or
- Receiving assistance through a Department of Veterans Affairs(VA)-funded homeless assistance program and met one of the above criteria at initial intake to the VA’s homeless assistance system;

OR

☐ Rapid rehousing, serving individuals and families (including youth) who are:

- Residing in a place not meant for human habitation;
- Residing in an emergency shelter;
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

- Persons meeting the criteria of paragraph (4) of the definition of homeless, including persons fleeing or attempting to flee domestic violence situations;
- Residing in a transitional housing project that was eliminated in the FY 2017 CoC Program Competition;
- Residing in transitional housing funded by a Joint TH and PH-RRH component project; or
- Receiving services from a VA-funded homeless assistance program and met one of the above criteria at initial intake to the VA’s homeless assistance system;

OR

☐ Joint component types, which will combine transitional housing and rapid rehousing into a single project to serve individuals and families experiencing homelessness;

OR

☐ An otherwise eligible transfer of an existing grant

HUD Threshold

☐ Project complies with eligibility requirements of the CoC Interim Rule and Subsequent Notices, and meets the threshold requirements outlined in the 2017 Notice of Funding Availability (pp. 29-37).

SCORING FACTOR 1: PROJECT’S WORK CONSISTENT WITH COMMUNITY NEEDS

Factor 1A  Are you proposing using grant funds for renewable activities (e.g., leasing, rental subsidies, housing operations as opposed to nonrenewable funds for acquisition, construction or rehabilitation)?

☐ Yes  ☐ No

Factor 1B  Does your proposal address an unmet need by serving an under-served area of the County, including areas outside of downtown San Jose?

☐ Yes  ☐ No

If yes, please briefly describe. (1/3-page limit)
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

Factor 1C  Will the project be ready to start by HUD’s statutory guidelines? Consider:

- For Construction/Rehabilitation/Acquisition:
  - When will you have site control?
  - When will construction/rehabilitation begin?
  - When will construction/rehabilitation be complete?
- For Leasing: When will you start leasing units?
- For Rental Assistance: When will you start rental assistance?

☐ Yes  ☐ No

What regulatory obstacles, if any, do you anticipate confronting, such as tenant displacement or relocation, environmental or zoning issues? How will these obstacles be overcome so that the project will be timely? (1-page limit)

SCORING FACTOR 2: PROJECT ABILITY TO ENHANCE SYSTEM PERFORMANCE

Factor 2A  Describe the population to be served, establishing that it is well-defined and eligible. Explain how the project will prioritize serving project participants with the highest need. (1/2-page limit)

Factors 2B/D/E Does program design include provision of comprehensive/intensive case management and appropriate supportive services of the type, scale and location to meet the needs of program participants (as well as transportation if necessary) using a Housing First Model? Are the program’s policies and procedures and the housing where participants will reside appropriate to the program design? Please briefly describe: (2-page limit)

- The services, housing, policies and procedures used by/proposed for this project
- The number and type of staff used by/proposed for this project (services and operations staff)
- How staff are/will be trained to meet the needs of the population to be served (services and operations staff)
- If unhoused or formerly unhoused people are/will be involved in designing the program
- How tenants will be involved in policy decisions related to the program and in operating the program
- How the program is/will be accessible to those of different abilities and cultures, including physical accessibility to persons with disabilities
- How the project links participants to other services, including mainstream health and social service programs
- How the project’s policies and procedures ensure clients are individually assisted to pursue mainstream benefits
- How the project’s policies and procedures actively reduce barriers to access and retention
- The evidence-based practices the project uses/will use to serve participants

Factor 2C  Please state the goals and/or outcome objectives for your project, including estimated outcomes in retention or exits to permanent housing and increase in employments and benefits, as set forth below. (1/2-page limit)

Updated July 25, 2017
Minimum project outcomes should include:

- The percentage of formerly homeless individuals who remain housed in the HUD permanent housing project at the end of the operating year or exited to other permanent housing is at least 90%
- The percentage of leavers that increase employment income from entry to exit is at least 20% for PSH and 38% for RRH
- The percentage of leavers that increase non-employment income from entry to exit is at least 54%
- The percentage of adult leavers and stayers in all CoC-funded projects that have non-cash mainstream benefits is at least 80% for PSH and 51% for RRH

**Factor 2F** Please attach your agency and/or project written policies or procedures that clearly demonstrate participants are NOT SCREENED OUT based on the following criteria, and indicate the document and page number where the panel can find each provision.

PLEASE NOTE: If a policy or procedure applies to all CoC-funded projects or agency-wide, you may submit one copy per agency (please skip this attachment and table below if already submitted with pre-NOFA RFI). If you have different policies or procedures for different projects or project types, submit one copy of each relevant policy and specify to which project or projects each one applies.

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<th>Name of Document/File</th>
<th>Page Number</th>
<th>Name of Project(s) (or “All Projects”)</th>
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<td>Having too little or no income</td>
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<td>Active, or history of, substance use or a substance use disorder</td>
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<td>Having a criminal record (with exceptions for state-mandated restrictions)</td>
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<td>History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement)</td>
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Please attach your agency and/or project written policies or procedures that clearly demonstrate participants are NOT TERMINATED from the program for the following reasons, and indicate the document and page number where the panel can find each provision.

PLEASE NOTE: If a policy or procedure applies to all CoC-funded projects or agency-wide, you may submit one copy per agency (please skip this attachment and table below if already submitted with pre-NOFA RFI). If you have different policies or procedures for different projects or project types, submit one copy of each relevant policy and specify to which project or projects each one applies.
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

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<td>Loss of income or failure to improve income</td>
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<td>Being a survivor of domestic violence</td>
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SCORING FACTOR 3: AGENCY/COLLABORATIVE CAPACITY TO ENHANCE SYSTEM PERFORMANCE

Factor 3A Does/will the agency have the following HEARTH required policies and procedures in place?

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In the past five years, has your agency previously managed a significant state/federal grant, for example, a grant for at least $200,000 per year for a three-year period?

☐ Yes ☐ No

Does your agency have a staffing plan that covers both grant management and performance of grant activities?

☐ Yes ☐ No

Please elaborate on this last question. (1/2-page limit)

Updated July 25, 2017
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

Factor 3B  PLEASE NOTE: Agencies that completed a pre-NOFA Panel Request for Information (RFI), submitted on or around April 28, 2017, do NOT need to fill out this section (Factor 3B).

Are there any unresolved HUD monitoring findings or concerns or outstanding HUD audit findings related to any project of your agency?

☐ Yes  ☐ No

Has HUD instituted any sanctions on any project of your agency, including, but not limited to, suspending disbursements (e.g., freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues?

☐ Yes  ☐ No

If yes to either (1) or (2) above, please attach the written communications between HUD and the project concerning those matters and describe the issue and status here, including the extent to which you have advised the Collaborative Applicant of the outstanding HUD findings or concerns. (1-page limit)

Factor 3C  How does the project align with and support CoC priorities, with particular attention to the priorities outlined below? (1-page limit)

• Services provided or described are adequate to meet the needs of the population served, as indicated by:
  o Case manager to client ratio
  o The type of services provided (substance use treatment, trauma informed care, youth-targeted programming, etc.)

• The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example (non-exhaustive list):
  o Project employs landlord engagement strategies
  o Project proposes to increase the number of persons served
  o Contribution of project to improving system performance
  o Project has or participates in a move-on program or strategy

• The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population

• Sources of match funding are stable and sustainable

• Agency’s CoC participation (meeting attendance)

SCORING FACTOR 4: HMIS PARTICIPATION

Factor 4  Does the project agency’s other programs, if any, demonstrate HMIS participation and good data quality (e.g., minimal percentage of null/missing, “don’t know” or “refused” data; percentage of clients with exit to known destinations; percentage of clients with known income and benefits)? Please explain. (1/3-page limit)

Victim service providers prohibited from using HMIS will receive points based on use of a comparable database.

Updated July 25, 2017
SUPPLEMENTAL APPLICATION (NEW/TRANSFER/FIRST TIME RENEWAL/FIRST TIME RENEWAL AFTER TRANSFER APPLICANTS ONLY)

NARRATIVE RESPONSE TO PRELIMINARY AND ANTICIPATED SCORES (3-PAGE LIMIT)

If you received preliminary scores for your project you may provide a narrative of up to 3 pages to supplement the information contained in your HMIS Data/Project Evaluation Report regarding your program’s successes in the past operating year. Applicants can use this opportunity to direct the Review and Rank Committee Panelists to explanatory or qualifying information regarding those scoring factors on which their project may not score perfectly and to encourage Panelists to exercise discretion in changing the scores for those factors.

Projects will be provided preliminary score sheets for those scoring factors that are pre-scored and scaled. New, first time renewal, and first time renewal after transfer projects may not have any pre-scored factors or may have pre-scored factors for agency capacity only. Projects are encouraged to provide explanatory information for any scoring factor they believe may not accurately reflect the project’s performance, including those for which they did not receive a preliminary score.

Applicants may use data and past performance information to support their arguments, including, e.g., information regarding the special nature of the population served, unusual or unforeseeable circumstances beyond the project’s control, or other reasons the project’s data does not adequately reflect its work. Please note that your preliminary scores can go UP or DOWN during the Panel’s review.

Updated July 25, 2017
2017 Continuum of Care Grants
Supplemental Application
NEW COORDINATED ENTRY PROJECTS***

***PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA

(1) New Support Services Only (SSO) Projects for Coordinated Entry

FUNDING REQUEST TYPE

Note that this application MUST be for reallocated funding.

THRESHOLD REQUIREMENTS

In addition to the scoring criteria, all projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. Please check the box in each category below to confirm the following is true:

Eligible Applicant

☐ Applicant and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

HUD Threshold

☐ Project complies with eligibility requirements of the CoC Interim Rule and Subsequent Notices, and meets the threshold requirements outlined in the 2017 Notice of Funding Availability (pp. 29-37).

SCORING FACTOR: PROJECT’S WORK IS CONSISTENT WITH COMMUNITY NEEDS

Factor 1A  Are you proposing using grant funds for renewable activities (e.g., leasing, rental subsidies, housing operations as opposed to nonrenewable funds for acquisition, construction or rehabilitation)?

☐ Yes ☐ No

Factor 1B  Does your proposal address an unmet need by serving an under-served area of the County, including areas outside of downtown San Jose?

☐ Yes ☐ No

If yes, please briefly describe. (1/3-page limit)
Factor 1C  Will the project be ready to start by HUD’s statutory guidelines? Consider:

- For Coordinated Entry: When will the coordinated entry process proposed by this grant begin?

What regulatory obstacles, if any, do you anticipate confronting, such as tenant displacement or relocation, environmental or zoning issues? How will these obstacles be overcome so that the project will be timely? (1-page limit)

**SCORING FACTOR: PROJECT ABILITY TO ENHANCE SYSTEM PERFORMANCE**

Factor 2A  Describe the population to be served, establishing that it is well-defined and eligible. Explain how the project will prioritize serving project participants with the highest need. (1/2-page limit)

Factor 2B  Does the program design include outreach, access, assessment, and referrals? Please briefly describe: (1-page limit)

a. How the design will reflect an effective approach to outreach, access, assessment and referrals;
b. How community partners will be involved;
c. How other, non-CoC funds will be leveraged to support implementation and operation;
d. How the project is staffed to achieve its goals;
e. How the program includes involvement of clientele in designing and operating a low barrier system;
f. How the project design intentionally is inclusive of and accessible to all eligible clients; and
g. The evidence-based practices the project uses/will use to serve participants.

Factor 2C  Please state the goals and/or outcome objectives for your project, including estimated outcomes, and describe how the estimated schedule for proposed activities, management and methods will assure full capacity effective and timely completion of the proposed project. (1/2-page limit)

Factor 2D  Will the proposed project cover the CoC’s entire geographic area? If not, please explain. (1/2-page limit)

Factor 2E  Please describe the program policies and procedures, consistent with the program design proposed, including how the coordinated entry will be easily accessible to individuals and families with the highest barriers to access and how it will include affirmative fair housing strategies. (1-page limit)

Factor 2F  Please explain how the advertisement strategy for coordinated entry is designed to reach those with the highest barriers to accessing assistance, including persons with disabilities and persons with limited English Proficiencies. (1/2-page limit)
Factor 2G  Please explain whether the standardized assessment process is comprehensive according to the housing and services available in the community. Will the process be standardized in structure, delivery, and evaluation across all assessments conducted using coordinated entry? (1/2-page limit)

Factor 2H  How does the coordinated entry process ensure participants are directed to appropriate housing or services? Please briefly describe: (1/2-page limit)
a. How the referral process for homelessness resources will be coordinated across CoC and ESG providers;
b. How the process will include a list of all available resources and uniform decision making;
c. How the process will include program participant choice; and
d. Whether there will be a process to reconcile unsuccessful or rejected placements.

Factor 2I  The project will ensure participants are not screened out based on (please check all that are true):

☐ Having too little or no income
☐ Active, or history of, substance abuse
☐ Having a criminal record (with exceptions for state-mandated restrictions)
☐ History of experiencing domestic violence (e.g., lack of a protective order)

SCORING FACTOR: AGENCY/COLLABORATIVE CAPACITY TO ENHANCE SYSTEM PERFORMANCE

Factor 3A  Does/will the agency have the following HEARTH required policies and procedures in place?

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In the past five years, has your agency previously managed a significant state/federal grant, for example, a grant for at least $200,000 per year for a three-year period?

☐ Yes  ☐ No

Does your agency have a staffing plan that covers both grant management and performance of grant activities?

☐ Yes  ☐ No

Please elaborate on this last question. (1/2-page limit)

**Factor 3B**

**PLEASE NOTE:** Agencies that completed a pre-NOFA Panel Request for Information (RFI), submitted on or around April 28, 2017, do NOT need to fill out this section (Factor 3B).

Are there any unresolved HUD monitoring findings or concerns or outstanding HUD audit findings related to any project of your agency?

☐ Yes  ☐ No

Has HUD instituted any sanctions on any project of your agency, including, but not limited to, suspending disbursements (e.g., freezing LOCCS), requiring repayment of grant funds, or de-obligating grant funds due to performance issues?

☐ Yes  ☐ No

If yes to either (1) or (2) above, please attach the written communications between HUD and the project concerning those matters and describe the issue and status here, including the extent to which you have advised the Collaborative Applicant of the outstanding HUD findings or concerns. (1-page limit)

**Factor 3C**

How does the project align with and support CoC priorities, with particular attention to the priorities outlined below? (1-page limit)

- Services provided or described are adequate to meet the needs of the population served
- The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example (non-exhaustive list):
  - Project proposes to increase the number of persons served
  - Contribution of project to improving system performance
- The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population
- Sources of match funding are stable and sustainable
- Agency’s CoC participation (meeting attendance)
2017 Continuum of Care Grants
Supplemental Application
NEW HMIS PROJECTS***

***PLEASE USE THIS APPLICATION FOR PROJECTS THAT MEET THE FOLLOWING CRITERIA

(2) New Support Services Only (SSO) Projects for Homeless Management Information System

FUNDING REQUEST TYPE

Note that this application MUST be for reallocated funding.

THRESHOLD REQUIREMENTS

In addition to the scoring criteria, all projects must meet a number of threshold criteria. A threshold review will take place prior to the review and rank process to clarify baseline requirements. Please check the box to confirm the following is true:

Eligible Applicant

☐ Applicant and subrecipients (if any) are eligible to receive CoC funding, including: non-profit organizations, States, local governments, and instrumentalities of state and local governments.

SCORING FACTOR: PROJECT’S WORK IS CONSISTENT WITH COMMUNITY NEEDS

Factor 1A Are you proposing using grant funds for renewable activities (e.g., leasing, rental subsidies, housing operations as opposed to nonrenewable funds for acquisition, construction or rehabilitation)?

☐ Yes ☐ No

Factor 1B Does your proposal address an unmet need by serving an under-served area of the County, including areas outside of downtown San Jose?

☐ Yes ☐ No

If yes, please briefly describe. (1/3-page limit)

Factor 1C Will the project be ready to start by HUD’s statutory guidelines? Consider:

• For HMIS: When will the HMIS proposed by this grant begin?

What regulatory obstacles, if any, do you anticipate confronting, such as tenant displacement or relocation, environmental or zoning issues? How will these obstacles be overcome so that the project will be timely? (1-page limit)
SCORING FACTOR: PROJECT ABILITY TO ENHANCE SYSTEM PERFORMANCE

Factor 2A  How will the project increase HMIS capacity and/or functionality? (1/2-page limit)

Will the project improve agency and CoC access to data in a form that can be analyzed and assist the Continuum of Care in assessing homeless needs, allocating resources, and coordinating services?

☐ Yes  ☐ No

Factor 2B  Will Data Quality for the system will be within an acceptable range?

☐ Yes  ☐ No

Will the reports produced for the Continuum of Care and for HUD be useful and satisfactory to meet the requirements for the CoC obligations (AHAR, PIT, HIC, APR, CAPER, etc.)?

☐ Yes  ☐ No

Does the HMIS collect all Universal Data Elements as set forth in the HMIS Data Standards?

☐ Yes  ☐ No

Does the HMIS un-duplicate client records?

☐ Yes  ☐ No

If no to any of the above, please explain. (1-page limit)

Factor 2C  Will the agency conduct trainings and otherwise assist projects to move into compliance with HUD HMIS Data Standards?

☐ Yes  ☐ No

SCORING FACTOR: AGENCY/COLLABORATIVE CAPACITY TO ENHANCE SYSTEM PERFORMANCE

Factor 3A  Does/will the agency have the following HEARTH required policies and procedures in place?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
<th>Policies</th>
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<tbody>
<tr>
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<td>Conflict of interest</td>
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<td>For individual conflicts</td>
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<td>Homeless person participation</td>
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<td>In policy making bodies</td>
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<td>Policies</td>
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<td>In project operations</td>
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<tr>
<td>Faith based activities</td>
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<tr>
<td>Equal treatment of program participants</td>
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<td>Separation of explicitly religious activities</td>
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<td>Fair housing</td>
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<td>Non-discrimination and equal opportunity</td>
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<tr>
<td>Affirmatively furthers fair housing</td>
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<tr>
<td>Accessibility for disabled persons</td>
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<tr>
<td>Age and gender of a child under age 18 must not be used as a basis for denying any family's admission to a project</td>
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</tbody>
</table>

In the past five years, has your agency previously managed a significant state/federal grant, for example, a grant for at least $200,000 per year for a three-year period?

☐ Yes  ☐ No

Does your agency have a staffing plan that covers both grant management and performance of grant activities?

☐ Yes  ☐ No

Please elaborate on this last question *(1/2-page limit)*.

**Factor 3B**

PLEASE NOTE: Agencies that completed a pre-NOFA Panel Request for Information (RFI), submitted on or around April 28, 2017, do **NOT** need to fill out this section (Factor 3B).

Are there any unresolved HUD monitoring findings or concerns or outstanding HUD audit findings related to any project of your agency?

☐ Yes  ☐ No

Has HUD instituted any sanctions on any project of your agency, including, but not limited to, suspending disbursements *(e.g., freezing LOCCS)*, requiring repayment of grant funds, or de-obligating grant funds due to performance issues?

☐ Yes  ☐ No

If yes to either (1) or (2) above, please attach the written communications between HUD and the project concerning those matters and describe the issue and status here, including the extent to which you have advised the Collaborative Applicant of the outstanding HUD findings or concerns *(1-page limit)*.

**Factor 3C**

How does the project align with and support CoC priorities, with particular attention to the priorities outlined below *(1-page limit)*?

- Services provided or described are adequate to meet the needs of the population served
• The project contributes to the community plan goal of 6,000 new housing opportunities and maximizes the number of people exiting homelessness. For example (non-exhaustive list):
  o Project proposes to increase the number of persons served
  o Contribution of project to improving system performance
• The project targets individuals or families with the highest vulnerability or barriers to housing within the project’s eligible population
• Sources of match funding are stable and sustainable
• Agency’s CoC participation (meeting attendance)
<table>
<thead>
<tr>
<th>Event/Activity</th>
<th>Responsible</th>
<th>Date/Time</th>
<th>Place</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NOFA Released</td>
<td>HUD</td>
<td>July 14, 2017</td>
<td>N/A</td>
<td>HUD releases the Notice of Funding Availability</td>
</tr>
<tr>
<td>NOFA Committee meets</td>
<td>OSH, HomeBase, NOFA Committee</td>
<td>July 27, 2017 @ 3:30-4:30 pm</td>
<td>OSH Suite 100 Conference Space; 3180 Newberry Dr.</td>
<td>NOFA Committee considers modifications to scoring tools and local process based on new information in the FY 2017 NOFA.</td>
</tr>
<tr>
<td>TA Workshop</td>
<td>OSH, HomeBase</td>
<td>August 1, 2017 @ 1-3 pm</td>
<td>OSH Suite 100 Conference Space; 3180 Newberry Dr.</td>
<td>Release information about local priorities and HUD guidelines for proposals. Agencies will be given a proposal package and training on how to complete the application.</td>
</tr>
<tr>
<td>Agencies write Proposals</td>
<td>Agencies</td>
<td>August 1 - August 14 2017</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Proposals are due</td>
<td>Agencies</td>
<td>August 14, 2017 @ noon</td>
<td>Via email</td>
<td>See Supplemental Application Checklist for list of required documents and information about where and how to turn in documents.</td>
</tr>
<tr>
<td>Rank &amp; Review Panel Training</td>
<td>OSH, HomeBase</td>
<td>August 18, 2017 @ 10-11:30 am</td>
<td>Online</td>
<td>Rank &amp; Review Panel receives training for scoring projects.</td>
</tr>
<tr>
<td>Rank &amp; Review Panel meets</td>
<td>OSH, HomeBase</td>
<td>August 30 – September 1, 2017</td>
<td>OSH Suite 100 Conference Space; 3180 Newberry Dr.</td>
<td>Rank &amp; Review Panel meets to discuss proposals and determine how projects will be ranked in the 2017 application.</td>
</tr>
<tr>
<td>Posting of Preliminary Priority List</td>
<td>OSH</td>
<td>September 2, 2017 @ 5 pm</td>
<td>Via e-mail</td>
<td>Preliminary priority list emailed to agencies.</td>
</tr>
<tr>
<td>Notification of Appeal</td>
<td>Agencies</td>
<td>September 5, 2017 @ 12 pm</td>
<td>Via e-mail</td>
<td>Applicants who intend to appeal their ranking on the preliminary priority list must notify HomeBase of their intent to appeal.</td>
</tr>
<tr>
<td>Sponsor Appeals due</td>
<td>Agencies</td>
<td>September 6, 2017 @ 5 pm</td>
<td>Via e-mail</td>
<td>Agencies may inspect their scores and formulate a written appeal based on appeal policy.</td>
</tr>
<tr>
<td>Appeals Committee meets</td>
<td>Appeal Committee</td>
<td>September 7, 2017</td>
<td>Online</td>
<td>Review appeals and recalculate scores, if necessary.</td>
</tr>
<tr>
<td>NOFA Committee meets</td>
<td>NOFA Committee</td>
<td>September 11, 2017</td>
<td>In person</td>
<td>NOFA Committee reviews Tier 2 and develops recommendations regarding strategic allocation of CoC funding.</td>
</tr>
<tr>
<td>Priority List is distributed to applicants</td>
<td>OSH</td>
<td>September 12, 2017</td>
<td>Via e-mail</td>
<td>Final priority list to be approved at CoC Board meeting emailed to agencies.</td>
</tr>
<tr>
<td>CoC Board Approval of Priority List</td>
<td>OSH</td>
<td>September 12, 2017</td>
<td>In Person or Online</td>
<td>Present final priority list to CoC Board for approval. Final Priority List published on CoC website.</td>
</tr>
<tr>
<td>HomeBase and OSH review project applications</td>
<td>HomeBase, OSH</td>
<td>August 14 - September 21, 2017</td>
<td>N/A</td>
<td>HomeBase and OSH work with agencies to finalize project applications for submission.</td>
</tr>
<tr>
<td>Final Project Applications to e-snaps</td>
<td>Agencies</td>
<td>September 21, 2017 @ 5 pm</td>
<td>Online</td>
<td>Agencies upload final applications to e-snaps, including all necessary attachments.</td>
</tr>
<tr>
<td>CoC Consolidated Application Posting</td>
<td>OSH, HomeBase</td>
<td>September 25, 2017</td>
<td>Online</td>
<td>CoC consolidated application is posted on CoC website.</td>
</tr>
<tr>
<td>Application is due to HUD</td>
<td>OSH, HomeBase</td>
<td>September 28, 2017</td>
<td>N/A</td>
<td>Application is packaged and submitted to HUD.</td>
</tr>
</tbody>
</table>
ATTACHMENT: CoC Governance Charter

<table>
<thead>
<tr>
<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
</tr>
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<tbody>
<tr>
<td>CoC’s Governance Charter</td>
<td>1-9</td>
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<tr>
<td>o Roles &amp; responsibilities of the CoC</td>
<td>1-2</td>
</tr>
<tr>
<td>o Roles &amp; responsibilities of the HMIS Lead</td>
<td>8</td>
</tr>
<tr>
<td>o Reference to HMIS Governance Agreement</td>
<td>8</td>
</tr>
<tr>
<td>o Signature page</td>
<td>9</td>
</tr>
<tr>
<td>Santa Clara County Continuum of Care HMIS Governance Agreement</td>
<td>10-101</td>
</tr>
<tr>
<td>o Roles &amp; Responsibilities of the HMIS Lead</td>
<td>12-13</td>
</tr>
<tr>
<td>o Roles &amp; Responsibilities of the CoC &amp; HMIS Lead, in Policies &amp; Procedures, listing activity areas &amp; responsible parties</td>
<td>16-33</td>
</tr>
</tbody>
</table>
SANTA CLARA COUNTY CONTINUUM OF CARE GOVERNANCE CHARTER

PURPOSE OF THE COC

The Santa Clara County Continuum of Care, herein referred to as the “CoC”, has been formed to carry out the responsibilities required under HUD regulations, set forth at 24 CFR 578 – Continuum of Care Program, in Santa Clara County. The CoC is comprised of a broad group of stakeholders dedicated to ending and preventing homelessness in Santa Clara County.

COC MEMBERSHIP

CoC membership is open to all interested parties, and will include representatives from organizations within Santa Clara County, including nonprofit homeless assistance providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, and organizations that serve veterans and homeless and formerly homeless individuals.

Membership will also include representation of homeless sub-populations including persons who abuse substances, persons with HIV/AIDS, veterans, chronically homeless, families with children, unaccompanied youth, persons who are seriously mentally ill, and victims of domestic violence, dating violence, sexual assault, and stalking.

All agencies and individuals attending CoC meetings, registrants on the CoC listserv, and others requesting to become members shall be deemed members of the CoC. Members will be encouraged to participate in CoC activities through participation in CoC Committees and advisory work groups.

RESPONSIBILITIES OF THE COC

The over-arching CoC responsibility is to ensure community-wide implementation of efforts to end homelessness and ensuring programmatic and systemic effectiveness of the local continuum of care program.

Specific responsibilities of the COC as a whole (as opposed to the COC Board) are:

**Implementation and Effectiveness**

- Identifying and communicating current and emerging needs related to affordable housing and homelessness to the CoC Board
• Identifying, supporting, and advocating for program and systemic changes to improve services and outcomes for homeless and at-risk populations
• Assessing progress on strategic priorities, and informing the strategic planning process and CoC policies
• Helping to engage, inform, and educate the broader community about effective solutions for ending and preventing homelessness

CoC Administration
• Recommending individuals with the knowledge and skills necessary to support, advise, or provide technical assistance to the Collaborative Applicant (the entity that coordinates the CoC Notice of Funding Availability (NOFA) application and undertakes other CoC administrative duties), HMIS Lead (the entity that implements the HMIS for the CoC), and CoC or CoC Board committees to ensure the efficient and effective operations of the CoC
• Nominating members for the CoC Board
• Recommending the Collaborative Applicant (for Board selection)
• Reviewing and approving this governance charter annually and the board selection processes at least once every 5 years

FORMATION AND PURPOSE OF THE COC BOARD

The CoC shall establish a Board to act on behalf of the CoC. Its key purposes are to be the driving force behind systems change to end and prevent homelessness and to provide the resources to support system change.

The CoC Board will be informed by committees and workgroups and supported by the Collaborative Applicant and the staff of Destination: Home pursuant to contracts with those entities.

COC BOARD RESPONSIBILITIES

The CoC Board is responsible for the following:

Strategic Direction
• Setting strategic priorities regarding affordable housing and homelessness, providing oversight and strategic direction for CoC activities (including fiscal oversight and programmatic activities), and providing resources to support strategic priorities, to make long-term systemic changes, and to implement an effective system of care
• Substantially engaging the private sector in increasing affordable housing and ending homelessness
• Promoting visibility of the CoC in the community and educating elected officials, agency heads, and community leaders regarding policies and actions to promote CoC objectives

Systemic Performance
• Ensuring that the CoC is effective in ending and preventing homelessness, meets HUD requirements, and maximizes local, State, Federal and private resources
• Monitoring CoC systemic performance through the Collaborative Applicant
• Ensuring the system of care is providing housing and supportive services in a manner consistent with best practices and the CoC’s strategic priorities
• Establishing priorities that align with local and federal policies for recommending projects for HUD CoC Program homeless assistance funding
• Responding to the HUD Continuum of Care Program Notice of Funding Availability (NOFA) by reviewing and approving the CoC’s process and approving the final submission of applications

CoC Oversight
• Serving as the decision-making body for the CoC
• Setting policy and meeting agenda(s) for the CoC and the CoC Board
• Overseeing the CoC and its Committees and make decisions based on their work
• Selecting, monitoring, overseeing, and evaluating the Collaborative Applicant
• Selecting, monitoring, overseeing, and evaluating the HMIS Lead
• Reviewing and approving the annual work plan for the CoC, its Committees, the Collaborative Applicant, and the HMIS Lead

FORMATION AND ROLE OF THE EXECUTIVE COMMITTEE

The COC Board shall establish an Executive Committee to:

• Act on behalf of the CoC Board in the interim between CoC Board meetings
• Ensure execution of strategic direction and operational decisions of the CoC Board
• Engage in monthly communication with and monitoring of the CoC contractors, including the HMIS Lead, Destination: Home and the Collaborative Applicant.

MEMBERSHIP OF THE COC BOARD

The CoC Board will be composed of the same individuals who serve as the Destination: Home Leadership Board, provided that at all times the CoC Board shall be representative of CoC organizations and of projects serving homeless subpopulations, and shall include at least one homeless or formerly homeless individual and a representative of at least one Emergency Solutions Grant (ESG) recipient agency located in Santa Clara County. Though the CoC Board and the Destination: Home Leadership Board will be composed of the same individuals, the CoC and Destination: Home are two distinct and separate entities.

The Destination: Home Leadership Board, and therefore the CoC Board, is comprised of up to 15 individuals as follows:

• Four Executive Committee members comprised of someone in a leadership role in the private sector and leadership representatives employed by the following organizations: Santa Clara County, City of San Jose, and The Health Trust. The private sector
representative shall serve a two-year, renewable term. The other Executive Committee positions shall be standing positions.

- **Up to Eight At-Large members**: Individuals selected to represent key community and CoC constituencies, with special emphasis on the private sector. Terms for At-Large members will be two years, but may be renewed.
- **At Least Three CoC members, including** at least one homeless/formerly homeless person, and at least two more representatives of service providing organizations from the CoC. Terms for CoC members will be two years, but may be renewed.

Regarding service on the CoC Board, Board members shall represent the CoC mission and not solely their organization’s interests.

**COC BOARD SELECTION, APPOINTMENT AND REMOVAL**

**At Large Members**: At large members of the Destination: Home Leadership Board, and therefore the CoC Board, may be nominated by any member of the Board and shall be reviewed by the Destination: Home Executive Committee and approved by the Destination: Home Leadership Board. Appointments will be made based on an individual’s commitment to the purposes of Destination: Home and the CoC as well as personal and professional qualifications including interest and leadership knowledge and the individual’s roles as a representative of the CoC organizations and of projects serving homeless subpopulations.

**CoC Members**: At least three members of the Board shall be selected via CoC nomination process. When there is a vacancy in one of these positions, the vacancy will be filled as follows:

- The CoC membership will nominate and propose 2-3 potential Board members to fill each open CoC Member position on the Board
- The seated Destination: Home Leadership Board will select from among the proposed individuals.
- Factors in selection of CoC members to the Board include the individual’s commitment to the purposes of the Board as well as personal and professional qualifications including interest, leadership knowledge, and depth of connection to the CoC membership and the broader community responding to homelessness, locally, regionally, and as relevant, nationally.

**Co-Chairs**: Two members of the Executive Committee shall be elected to annual terms as Co-Chairs of the Board by a vote of the CoC Board, which may be renewed.

**Removal**: Board members may be removed by 2/3 votes of the members of the Destination: Home Leadership Board, not including the vote of the member who is the subject of the removal proceedings. Absent compelling circumstances, a member shall be removed in the event they do not attend at least one half of the Destination: Home or CoC Board meetings annually.

The CoC shall review and update the CoC Board selection process at least once every 5 years.
DECISION MAKING & QUORUM

The CoC Board will operate on a consensus decision-making model. If consensus cannot be achieved, a decision will be made by a majority vote of those attending the meeting in which a quorum was initially present. Quorum is defined as a majority of the members of the Board.

COC BOARD AND EXECUTIVE COMMITTEE MEETINGS

Regular meetings of the CoC Board shall be held at least 4 times per year. Executive Committee members meet monthly with at least 8 meetings per year. Though CoC meetings and Destination: Home meetings may be conducted at adjacent times, each entity’s meeting will be conducted separately.

Special meetings of the CoC Board may be called by 1) any Executive Committee member and 2) upon written request by a majority of the CoC Board members. CoC Board members will be given notice via email at least five (5) working days prior to a special meeting.

A quorum must be present before calling a meeting to order for the purpose of conducting CoC Board business. A meeting at which a quorum is initially present may continue to transact business notwithstanding the withdrawal of board members.

COMMITTEES

Committees and advisory work groups may be appointed by the Executive Committee to assist the Collaborative Applicant and Destination: Home staff and inform the CoC Board. They may be tasked with preparing periodic reports or presentations to the Board and otherwise carrying out CoC activities. CoC members will be encouraged to participate in committees and work groups.

The committees and work groups shall be dissolved upon the completion of their task.

CONFLICT OF INTEREST AND CODE OF CONDUCT

Each CoC Board member, employee, agent, and consultant is expected to uphold certain standards of performance and good conduct and to avoid real or apparent conflicts of interest. In order to prevent a conflict of interest, a CoC Board member, employee, agent, or consultant of the CoC Board may not:

- Participate in or influence discussions or decisions concerning the selection or award of a grant or other financial benefit to an organization that the CoC Board member, employee, officer, agent, or consultant has a financial or other interest in or represents
- Solicit and/or accept gifts or gratuities from anyone benefitting from HUD funding for their personal benefit in excess of minimal value
• Engage in any behavior demonstrating an actual conflict of interest and shall use reasonable efforts to avoid giving the appearance of any such conflict

Individuals with a conflict of interest will inform the CoC Board of the conflict and excuse themselves from the meeting or deliberations during such discussions. The CoC Board chairperson will also track which CoC Board members have conflicts of interest and assist to ensure such members do not participate in discussions or decisions in which the members have a conflict. Each CoC Board member must sign a personal conflicts of interest policy to demonstrate that the individual is aware of and agrees to abide by this policy. Any failure to adhere to the policy may result in disciplinary action. Disciplinary action may include but is not limited to:

• Oral warning
• Written warning
• Suspension
• Termination

In addition to disciplinary action, civil and/or criminal penalties may be sought.

COC MEETINGS

The CoC Board will hold meetings of the full Santa Clara County CoC membership at least semi-annually. The CoC Board or its designee will announce the date, time and location of these meetings at least one month in advance and will publish the meeting agenda at least one week before the date of the meeting. Meeting agendas will be posted online at www.sccgov.org/sites/osh/coc for review prior to the meeting.

RECRUITMENT

The CoC will publish and appropriately disseminate an open invitation at least annually for those within the Santa Clara County CoC area to join as new CoC members and will document all recruitment efforts.

AMENDMENT AND REVIEW

The CoC will review, update, and approve its governance charter at least annually. Amendment of the charter requires a majority vote at a regularly scheduled meeting of the CoC, provided that notice of the scheduled vote on the charter amendment was provided at least one month prior to that CoC meeting.

DELEGATION OF DUTIES AND RESPONSIBILITIES

The CoC shall contract with the following entities to carry out the following duties and responsibilities, provided that the CoC shall ultimately retain responsibility for all duties and responsibilities.
**DESTINATION: HOME**
The Destination: Home staff shall provide support to the CoC Board by:

- Coordinating and supporting strategic planning activities
- Taking the lead on engaging, communicating and building trust among stakeholders, with support from the Collaborative Applicant
- Coordinating CoC Board meetings

**COLLABORATIVE APPLICANT**
The Collaborative Applicant is responsible for the following duties (either by completing the duty or contracting to complete it) and will call committees to support the following work:

**CoC Administration**
- Administering the CoC
- Maintaining a list of all CoC members
- Holding meetings of the full CoC membership, with published agendas, at least semi-annually
- Coordinating committee meetings
- Maintaining a CoC Policies and Procedures document to supplement this charter
- Publishing and appropriately disseminating an open invitation at least annually for those within the CoC area to join as new CoC members, and documenting recruitment efforts
- Recordkeeping to show all CoC requirements are met

**CoC Program Application**
- Coordinating a collaborative process for the development of the CoC’s application to HUD for CoC Program funding for homeless assistance
- Collecting and combining the required application information from all applicants

**Performance Monitoring**
- Maintain CoC Performance Monitoring/Benchmark documents, which describe in more detail roles and responsibilities
- Establishing performance targets appropriate for population and program type
- Consulting with state and local government ESG recipients regarding ESG fund allocation
- Monitoring performance and evaluating outcomes of CoC and ESG recipients and sub-recipients
- Monitoring CoC systemic performance and outcomes
- Ensuring the system and programs are meeting target benchmarks. If benchmarks are not met, take action or recommend actions to be taken by the CoC Board, the CoC, providers and/or the community at large to improve outcomes

**Coordinated Assessment**
- In consultation with recipients of ESG funds within the CoC, creating and operating a coordinated assessment system that provides comprehensive assessment of needs.
- Establishing and operating written standards for providing CoC assistance
CoC Planning
- Planning for and conducting, at least biennially, a point-in-time count of homeless persons within Santa Clara County that meets HUD requirements
- Conducting an annual gap analysis of the homeless needs and services in Santa Clara County
- Providing information required to complete the Consolidated Plans, in accordance with 24 CFR parts 91 and 578.27, within Santa Clara County

HMIS LEAD
The HMIS Lead is responsible for HMIS implementation (either by completing the duty or contracting to complete it), which includes the following duties:
- Implementing HMIS, including designating a single HMIS
- Reviewing, revising, and approving the HMIS governance agreement, which identifies HMIS roles and responsibilities
- Reviewing, revising, and approving the privacy plan for the HMIS
- Reviewing, revising, and approving the security plan for the HMIS
- Reviewing, revising, and approving the data quality plan for the HMIS
- Reviewing, revising, and approving the HMIS policies and procedures
- Ensuring consistent participation of recipients and sub-recipients in the HMIS
- Ensuring HMIS administration is compliant with HUD requirements
I, the undersigned, certify that the foregoing Governance Charter was adopted by the Santa Clara County Continuum of Care on March 20, 2017 by a consensus of its membership.

COLLABORATIVE APPLICANT

Hilary Barroga
Continuum of Care Quality Improvement Manager

Date 8/2/17
Santa Clara County
Continuum of Care
HMIS Governance
Agreement

Produced by Bitfocus, Inc., HomeBase, and the County of Santa Clara

Last Updated: November 2015
Executive Summary

HMIS Overview

The United States Department of Housing and Urban Development (HUD) defines the Homeless Management Information System (HMIS) as the information system designated by the Continuum of Care (CoC) to comply with HUD’s data collection, management, and reporting standards. The HMIS collects data to measure the efficacy of services provided to homeless persons and those persons at risk of homelessness. It is intended to generate unduplicated counts of homeless persons, as well as explore the nature of homelessness in general. The data collected by the HMIS is used to drive evidence-based decisions at the local, state, and national level, with the ultimate goal of eradicating homelessness in the United States.

This document outlines the Santa Clara County HMIS governance structure, and provides the policies, procedures, guidelines, and standards that govern Santa Clara County HMIS operations, while dictating the roles and responsibilities of all parties involved.

Santa Clara County HMIS Governance Agreement

This Santa Clara County HMIS Governance Agreement aims to provide structure for decision-making, as well as formalize the roles and responsibilities of all HMIS entities. It defines the relationship between the HMIS implementation, the Santa Clara County Continuum of Care, and its participating providers, and it establishes oversight and leadership expectations surrounding the HMIS.

Santa Clara County HMIS Governance Model

The Santa Clara County HMIS governance model is that of an HMIS Working Group. This HMIS Working Group is comprised of the following:

- CoC representatives
- HMIS Lead Agency Staff
- Local Jurisdictional Representatives
- Participating Agency Staff and Consumers

However, the Santa Clara County Continuum of Care and its representatives are collectively responsible for all final decisions regarding the planning of policies and procedures, the coordination of resources, data integration, and determination of software applications. The Santa Clara County Continuum of Care and its representatives Dare also responsible for directing the HMIS Lead Agency.
Designations

The main entities included in this HMIS Governance Agreement are as follows:

Santa Clara County Continuum of Care (CoC)

The entity is composed of representatives of relevant organizations in Santa Clara County, which generally includes nonprofit homeless providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, organizations that serve homeless and formerly homeless veterans, and homeless and formerly homeless persons, and that are organized to plan for and provide, as necessary: a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies to address the various needs of homeless persons and those persons at risk of homelessness in Santa Clara County.

HMIS Program Administrator (Bitfocus, Inc.)

This is the entity designated by the Santa Clara County CoC to oversee the day-to-day administration of the HMIS system.

HMIS Lead Agency (Santa Clara County Office of Supportive Housing)

The duties of the HMIS Lead are as follows:

- Ensure all recipients of funds from the Emergency Solutions Grants Program (ESG) and programs authorized by Title IV of the McKinney-Vento Act participate in HMIS;
- Develop written policies and procedures for all Covered Homeless Organizations (CHOs);
- Execute an HMIS participation agreement with each CHO;
- Serve as the applicant to HUD for any HMIS grants that will cover the CoC geographic area;
- Monitor compliance by all CHOs with the CoC; and
• Submit a Security Plan, Data Plan, Data Quality Plan, and Privacy Plan to the CoC for approval within six months of the finalization stage of the HMIS Requirements Proposed Rule. These documents must be reviewed and updated annually. Implementation of the policies outlined in the plans must be implemented within six months of the date of CoC approval of the plans.

Note: The HMIS Lead is the only organization with the authority of the CoC to make system-wide decisions regarding the HMIS. Its decisions will impact all CHOs within the CoC.

HMIS Working Group

This is a group of entities that provide recommendations on use of software and software enhancement.

At least one homeless person or formerly homeless person must participate in policymaking. Participation can include, but is not limited to, the following entities (as defined by HUD): governing board leadership, advisory committees, staff positions, and sub-committee positions.

HMIS Software Application

The CoC has designated Clarity Human Services, a division of Bitfocus, Inc., to serve as its HMIS software. Clarity Human Services software is a product of Silver Spur Systems, LLC, and will hereafter be referred to as the Clarity System.

Participating Agencies

Participating Agencies include any agency that makes reasonable efforts to record all HUD-defined Universal Data Elements and all other required data elements as outlined by HUD funding requirements on all clients served, and discloses these data elements to the HMIS Lead Agency.

Any agency providing homeless services and wishing to participate in HMIS will complete and submit an HMIS participation application. This application is reviewed by the HMIS Lead for approval. In the event that there is a question regarding the need to participate, the application is taken to the HMIS Working Group for approval or denial.
The HMIS Working Group has given the HMIS Lead authorization to approve applications to use HMIS if the HMIS Lead is confident that the applying agency is serving the homeless population.

**HMIS Grantee**

This is the entity responsible for soliciting, collecting, and analyzing feedback from end users, program managers, agency executive directors, and homeless persons.

**HMIS Funding**

HMIS Leads and CHOs must refer to program regulations to determine how funds are made available. Program regulations for the HUD McKinney-Vento Act programs can be found in the regulations of Chapter V of Title 24 of the Code of Federal Regulations. These regulations explain how funds are made available, and the requirements attached to those funds.

McKinney-Vento Act funding recipients and sub-recipients must participate in the Clarity System. Only homeless service providers receiving CoC and ESG funding can access HMIS funding.
Statutory Authority

The implementation of the McKinney-Vento Act in 1987 created valuable programs aimed at assisting homeless persons or persons at risk for homelessness to regain independence and stability. However, despite its promising beginnings, the McKinney-Vento Act, and the programs it fostered, operated without measurement of efficacy for over 15 years; no government entity conducted a comprehensive performance review. Therefore, in 2001, Congress enlisted HUD to enforce the requirement that every jurisdiction present to Congress unduplicated client-level data within three years.

HUD formulated a strategic plan to test the efficacy of the McKinney-Vento Act while also improving data collection, reporting, and analysis at the local and national levels. Its strategy consisted of four approaches:

1. It established funding for the implementation and maintenance of HMIS.
2. It created a technical assistance program to assist jurisdictions in their data collection, analysis, and reporting efforts.
3. It initiated the development of the nationwide Annual Homeless Assessment Report (AHAR) as means to present to Congress collective homeless data from individual jurisdictions nationwide.
4. It began to analyze the most viable approaches to obtaining homeless client-level reporting.

This plan amplified competition among CoCs as they strived to obtain homeless assistance funding. As the importance of HMIS applications increased, so did their complexity and sophistication.

CoCs became increasingly aware of the data collection and reporting requirements imposed by Congress, and in 2004, HUD submitted its Third Progress Report to Congress. As a result, Congress and HUD implemented the first HMIS Data and Technical Standards Final Notice. The Final Notice made the implementation and maintenance of HMIS mandatory to obtain federal funding for homeless relief efforts. In 2010, the HMIS requirements were further modified. Currently, CoCs are awaiting the implementation of the upcoming HMIS Requirements proposed rule.

Collectively, these provisions set forth statutory requirements for this Governance Agreement, which aims to organize the accurate collection and reporting of comprehensive data regarding the characteristics and needs of homeless persons and those at risk of homelessness.
Policies & Procedures

The following policies and procedures are primarily derived from the 2004 HMIS Data and Technical Standards: Final Notice[^4] and the 2010 HMIS Data Standards: Revised Notice.[^5]

Note that this Governance Agreement will be updated upon the finalization of the HMIS proposed rule.[^6]

This section is comprised of six (6) sections:
1. Planning & Software Selection
2. HMIS Management & Operations: Governance & Management
3. HMIS Management & Operations: Compliance Monitoring
4. HMIS Management & Operations: Data Quality
5. HMIS Development & Oversight
6. Other Federal Requirements

1. Planning & Software Selection

The following policies and procedures are derived from the most recent HUD HMIS Requirements.

1.1 HMIS Planning & Strategic Activities

Development of activities related to HMIS growth. These activities will be reviewed regularly, and remain in accordance with the CoC’s goals.

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1.2 HMIS Program Milestones Development

Identification of general milestones for project management, including training, expanded system functionality, etc.

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1.3 Universal Data Elements

HMIS must be equipped to manage the collection of each data variable and corresponding response categories for the Universal Date Elements as outlined in the 2010 HMIS Data and Technical Standards.[5] Please see Exhibit A for a list of the Universal Data Elements.

Although HUD strives to ensure that the HMIS remains “a system of accuracy, integrity, and confidentiality,” it is aware that excessively stringent technical, security, and data standards may limit the ability of CoCs to adapt to beneficial changes in technology. Therefore, the standards listed in the following section are broad in nature. HUD states that it will provide specific details applicable to each area in a separate notice and public comment process, thus enabling it to be more responsive to changes in technology.

Proposed Requirements:
- HMIS must be capable of unduplicating client records, must contain fields that collect all HUD-required data elements, and must maintain historical data.
- HMIS must generate Standard HUD Reports, Data Quality Reports, and Audit Reports.

1.4 Program-Specific Data Elements

HMIS manages the collection of each data variable and corresponding response categories for the Program-Specific Data Elements as outlined in the 2010 HMIS Data and Technical Standards.[5]
1.5 Unduplicated Client Records

HMIS generates a summary report of the number of unduplicated client records that have been entered into the HMIS.

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1.6 APR Reporting

HMIS is consistently able to produce a reliable Annual Performance Report (APR).

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1.7 AHAR Participation

Participation in the AHAR (Annual Homeless Assessment Report) is ensured.

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1.8 HMIS Reports

HMIS generates clients-served reports, utilization summary reports, and demographic reports at both the system and program levels for the purpose of understanding the nature and extent of homelessness.

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2. HMIS Management & Operations: Governance & Management

2.1 HMIS Governance Structure

This involves development of an HMIS governance model that is formally documented between the HMIS Lead Agency and the community planning body or bodies. This document is to be a formal Governance Agreement that outlines management processes, responsibilities, decision-making structures, and oversight of the HMIS. Adherence to the Governance Agreement is to be regularly monitored.

HMIS Governance Standards:

- HMIS Lead is responsible for development of local HMIS policies and procedures.
- HMIS Lead and CHO are responsible for ensuring that HMIS processing capabilities coincide with the privacy obligations of the CHO.
- HMIS Lead must conduct annually (at minimum) an unduplicated count of clients served and an analysis of unduplicated amounts. This information is to be presented to the CoC and when requested by HUD.
- HMIS Lead must submit reports to HUD as required.
- CHO must comply with applicable standards from HMIS Requirements proposed rule.
- CHO must comply with federal, state, and local privacy laws. If a privacy or security standard conflicts with other federal, state, and local laws, the CHO and HMIS Lead are jointly responsible for updating the policies and procedures.
- HMIS Lead must develop a privacy policy.
- HMIS Lead must ensure HMIS vendor acts in accordance with HMIS standards issued by HUD.

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2.2 HMIS Oversight Inclusive Participation

Membership of the HMIS Working Group or advisory board is inclusive of decision-makers representing the Santa Clara CoC and community.
2.3 HMIS IT Issue Monitoring (Community Level)

HMIS System service requests, activities, deliverables and resolutions are reviewed on a regular basis. When necessary, authoritative support is provided to expedite IT issue resolution.

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2.4 HMIS Technical Support

Technical expertise that is commensurate with general HMIS program oversight is provided in addition to timely support on high-level technical matters. All necessary HMIS software changes in response to the changing requirements of participating agencies are reviewed and authorized. All general special issues presented by participating agencies are reviewed and authorized.

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2.5 HMIS Software Technical Support

Technical expertise commensurate with the requirements of the HMIS software and/or system is provided; Timely support on software technical matters is provided; authorized changes to the HMIS software and processes are implemented; resolutions to any special issues authorized by the HMIS Technical Support Entity within the software or overall system are implemented.
2.6 HMIS IT Issue Tracking

An updated list of HMIS system service requests, activities, deliverables, and resolutions is maintained on a regular basis.

2.7 HMIS Staff Organization Chart

A current and accurate organization chart that clearly identifies all team members, their roles and responsibilities, and general work activities and functions is maintained on a regular basis. This organization chart is made available for review.

2.8 HMIS Software Training

Regular training on software usage, software and data security, and data entry techniques to participating agencies is provided. The development, updating, and dissemination of data entry tools and training materials occur on a regular basis. The system is monitored and ensured on a regular basis.

User, Administrator And Security Training: Clarity Human Services will provide training to instruct the Program Administrator in the proper procedures required to supervise and maintain the operation of the HMIS. Program Administration training will cover security, configuration, and user customization.

Participating Agency Technical Administrator / Security Officer Training: Each agency participating in the Clarity System will designate a Technical Administrator / Security
Officer who will serve as the contact person for participation in the HMIS. This person shall review and assess the security measures in place to protect client data.

Other responsibilities of this position include, but are not limited to, the following:
- Authorizing Agent For Partner Agency End User Agreements
- Keeper Of Partner Agency End User Agreements
- Keeper Of Executed Client Consent and Release of Information forms
- Authorizing Agent For User ID Requests
- Staff Workstations
- Internet Connectivity
- End User Adherence To Workstation Security Policies
- Detecting And Responding To Violations Of The Policies And Procedures
- First Level End User Support
- Maintain Agency/Program Data In HMIS Application
- Authorized Imports Of Client Data

Each organization participating in the Santa Clara County Clarity System will have a representative participate in the Participating Agency Technical Administrator / Security Officer Training Program prior to system deployment at that agency. Training will take place in Santa Clara County, and participants are not to exceed fifteen persons per training. These trainings will cover practical problem solving. Each agency’s Technical Administrator / Security Officer will learn how to adjust eligibility screens, identify service data that must be migrated to the HMIS, and track expenses and customize the system for their organization.

Each Participating Agency Technical Administrator / Security Officer will have access to a master manual for program management and will be responsible for either copying or purchasing a copy for use at their organization. Upon conclusion of the training and prior to deployment, Technical Administrators / Security Officers will begin inputting their HMIS information, number of beds (if any), services, and contact information into the Clarity System.

End User Training Schedule: Bitfocus, Inc. will provide training in the day-to-day use of the Clarity System. Training class size will be limited. Training will use an established demo database, and will cover the following topics: intake, assessment, information and referral, reports, and client tracking. Training on any agency-modified fields/screens will be the responsibility of the associated agency making the modification. Training requires an eight to twelve hour commitment over the course of two days.
2.9 System Operation & Maintenance

Operation and maintenance of the HMIS System is conducted on a daily basis.

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2.10 HMIS User Feedback

Mechanisms for soliciting, collecting, and analyzing feedback from end users, program managers, agency executive directors, and homeless persons are managed and maintained. Feedback includes impressions of operational milestones and progress, system functionality, and general HMIS operations. Examples of feedback include satisfaction surveys, questionnaires, and focus groups.

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3. HMIS Management & Operations: Compliance Monitoring

3.1 HMIS Management Issues

HMIS is managed in accordance to the policies, protocols, and goals of each of the Santa Clara County CoC.

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3.2 HMIS Program Milestones Monitoring

Milestones, notes variances, and reports variances to CoC membership is monitored.

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3.3 Agency and Program HMIS Participation

Program- and agency-level participation in HMIS is monitored on a regular basis via the comparison of point-in-time census of beds/slots to clients served. Agencies report all findings to the Santa Clara County CoC.

All monitoring activity is documented. Acceptable documentation methods can include but are not limited to the following reports: DQXX-103 Monthly Staff Report; Monthly Agency Utilization Report; HSNG-102 CoC Housing Assessment Report; HSNG-103 Housing Inventory Report; Monthly Housing Report (both CoC- and Agency-based); Weekly Housing Census; Performance Monitoring Report(s).

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3.4 Data and System Security

Agency staff are instructed and required to adhere with the HMIS data and system security protocols as outlined by their corresponding CoC and the most current HUD HMIS Data and Technical Standards.

HMIS Security Standards:

- HMIS Lead must establish a security plan that is approved by the CoC.
- HMIS Lead must designate a Security Officer.
- HMIS Lead must conduct workforce security screening.
- HMIS Lead must report security incidents.
- HMIS Lead must establish a disaster recovery plan.
- HMIS Lead must conduct an annual service review.
• HMIS Lead must ensure that each CHO designates a Security Officer and conducts workforce security measures.
• HMIS Lead must ensure that each user completes security training (at the minimum annually).
• HMIS Lead must ensure that each CHO conducts an annual security review.

### 3.5 Client Consent

Client consent is obtained and documented according to the policies and procedures of the Santa Clara County CoC.

**Partner Agency Data Sharing Agreements:** Agencies that will be sharing client-specific records must agree in writing to uphold specified minimum standards of privacy protection.

**Written Client Consent Procedure For Data Entry:** Agencies must obtain the client’s consent prior to entering information concerning a client into the system. If a client does not consent, services should not be denied to the client. The agency can use the anonymous client function in appropriate cases.

**Confidentiality And Consent Forms:** Agencies must use the forms approved by the HMIS Working Group. Agencies that share protected health information must have internal procedures for obtaining client consent prior to the sharing of this information.

**Privacy Statement:** Agencies must develop a privacy notice or statement, and incorporate the Privacy Statement into their policies and procedures. In addition, HUD mandates that organizations develop policies and procedures to distribute privacy notices or statements to their employees, which include having employees sign to acknowledge receipt of the notices or statements.

### Responsible Party

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4. HMIS Management & Operations: Data Quality

4.1 Data Quality Standards

Community-level data quality plan and standards are developed and enforced. A standard interview protocol that facilitates the collection of required data elements is developed. These standard interview protocols include standardized intake as well as standardization of all subsequent interviews.

Data Quality Standards:

- HMIS Lead must set data quality benchmarks for CHOs separately for lodging and non-lodging projects.
- Minimum Bed Coverage Rates: Measures the level of lodging project providers’ participation in HMIS. Must be calculated separately for emergency shelter, safe haven, transitional housing, and permanent housing.
- Divide the number of HMIS participating by the total number of year-round beds in the CoC geographic area.
- Service-Volume Coverage Rates: Service-Volume coverage rate will all calculation of the coverage rate for a HUD-defined category of projects that do not offer overnight accommodations, such as homelessness prevention projects or street outreach projects. Must be calculated for each comparable database.
- Divide the number of persons served annually by the projects that participate in the HMIS by the number of persons served annually by all CoC projects within the HUD-defined category.
- All HMIS Leads must develop and implement a Data Quality Plan. HMIS must be able to generate reports monitoring data quality.

HMIS Leads and CHOs must refer to applicable program regulations in regards to the length of time records are to be maintained and monitored. While the HMIS Lead is permitted to archive the data in HMIS, they must follow HUD archiving data standards.

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4.2 Universal Data Elements
Data quality reports are regularly reviewed at community planning level. These data quality reports generate information that covers data entry completion, consistency with program model, and timeliness as compared to the community data quality standards. All standardized interview protocol adhere to the requirements outlined in Exhibit A (Universal Data Elements).

The Universal Data Elements outlined in Exhibit A will be collected or verified per HUD procedure at initial intake and any subsequent program enrollment, and then entered into the HMIS within a specified period of time following the collection of the data.

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### 4.3 Program Specific Data Elements

The collection of each data variable and corresponding response categories specific to their program type on all clients served by McKinney-Vento funding is ensured. All standardized interview protocol prescribed by HUD is followed.

The Program-Specific Data Elements are collected or verified per HUD procedure at initial intake and any subsequent program enrollment, and then entered into the HMIS within a specified period of days from the collection of the data.

Reporting agencies are required to report program entry and exit dates upon the entry or exit of program participants. Entry dates should record the first day of service or program entry with a new program entry date for each period/episode of service. Exit dates should record the last day of residence in a program’s housing before the participant leaves the shelter or the last day a service was provided.

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### 4.4 Data Quality Reports – Technical Assistance

Data quality reports that indicate levels of data entry completion, consistency with program model, and timeliness as compared to the community data quality standards are disseminated to participating programs. Technical assistance and training needs are determined according to these reports.
4.5 Data Quality Reports to Planning Entity

Data quality reports that indicate cross program levels of data entry completion, consistency with program model, and timeliness as compared to the community data quality standards are disseminated to the community planning entity on a regular basis.

4.6 Meta Data Elements

Meta Data Elements are defined as elements of information that describes an item; they are not the item itself. Meta Data Elements do not actually appear on the screen, but instead describe the data fields that do appear on the screen. Thus, Meta Data Elements are an integral and automated component of the data collection process. Examples of Meta Data Elements include:

- Data Created
- Data Updated
- Data Collection Stage
- Information Update
- Project Identifier
- Project Entry Identifier
- User

Requirements: Each data variable and corresponding response categories specific to their program type on all clients served by McKinney-Vento funding are collected through proper data collection. All standardized interview protocol adheres to the most current HMIS requirements. Therefore, the Meta Data Elements are collected and/or verified per HUD procedure at initial intake and any subsequent program enrollment, and entered into the HMIS within a specified period of time following the collection of the data.
5. HMIS Policy Development & Oversight

5.1 Community Planning Goals & Objectives Training

The progress of the Community Planning Goals and Objectives trainings and reviews are monitored on a regular basis.

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5.2 Participation Rates

HMIS coverage rates of the Santa Clara County CoC are reviewed and monitored on a regular basis. Agencies with coverage rates lower than 75% participation are required to provide explanation for the barriers to implementation. Ongoing engagement activities and barrier resolution with non-participating agencies is required.

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5.3 Client Confidentiality & Privacy Training

Trainings on client confidentiality and privacy requirements are provided to intake staff, data entry staff, and reporting staff at all participating agencies on a regular basis. All agencies have sufficient privacy policies and protocols in place.

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5.4 Performance Measurement Training

Regular training and guidance on program performance measurement is provided.

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5.5 Participating Agency Documentation

The number of participating agencies (utilizing the system) is maintained and documented on a regular basis. A comparative analysis of planned versus actual deployments at the project level is highly desired but not compulsory.

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5.6 Participation Rates

Regular reports on HMIS participation rates are provided to the Santa Clara County CoC. An analysis of agency-specific barriers with potential solutions is highly desired but not compulsory.

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5.7 Standard Operating Procedures

HMIS Standard Operating Procedures are fully documented and available.

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5.8 Partner Agency Privacy Agreement and MOU

Written agreements that describe the protocols for participation in the HMIS are established with participating agencies.

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5.9 Partner Agency Data Sharing Agreements

Written agreements with participating agencies which share client-level data are maintained. These agreements describe the level of data element or program information sharing among the data sharing HMIS agencies.

Sharing Of Information: Clients must consent to the sharing of their information prior to that information being shared with participating agencies. In the event that the client agrees to have their information entered into the HMIS, but does not agree to have it shared with other agencies, the user can make the client record anonymous by using the ‘Private Option’.

Sharing Protected Information: A separate Client Consent to Data Collection and Release of Information indicating what information the client agrees to have shared with other participating agencies must be signed prior to sharing of any Protected Personal Information (PPI).

Printed Information: Any printed records that are disclosed to the client or another party should indicate: the person or agency to whom the record is directed, the date, and the initials of the person making the disclosure.

Requests For HMIS Client Information: The agency must notify the HMIS Program Administrator within one working day when the agency receives a request from any individual or outside organization for client-identifying information.

Case Notes: It is understood that client case notes will not be shared, and that each agency will have the ability to enter its own private notes about a client.

The Client Consent to Data Collection and Release of Information form will be a dated document that expires. The provider will only be able to access the information specified on the ROI that was entered into the system during the time the ROI was in effect. Also,
the client can decide at any time that they want to have their information closed, in full or in part, and/or client file deactivated.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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</thead>
<tbody>
<tr>
<td>HMIS Lead</td>
</tr>
</tbody>
</table>

5.10 HMIS End User Agreement

A written agreement with each authorized user of the HMIS is maintained. This agreement defines participation protocols, including training criteria, consent protocols, system use, and privacy and security standards.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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</thead>
<tbody>
<tr>
<td>HMIS Lead</td>
</tr>
</tbody>
</table>

5.11 Data Release

The CoC geographic area of the HMIS grantee maintains a defined and documented HMIS data release protocol that governs release of all data from the HMIS.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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<tbody>
<tr>
<td>CoC</td>
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</tbody>
</table>

5.12 Program Training & Orientation

All required participants pertaining to HMIS standards receive training and orientation on regulations regarding McKinney-Vento funding.

<table>
<thead>
<tr>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>CoC</td>
</tr>
</tbody>
</table>
5.13 Client Consent to Data Collection and Release of Information

The CoC geographic area of the HMIS grantee has a defined and documented client consent protocol to be used as a baseline practice among all participating HMIS users.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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</thead>
<tbody>
<tr>
<td>CoCs</td>
</tr>
</tbody>
</table>

5.14 Data Release.

The CoC geographic area of the HMIS grantee has a defined and documented HMIS data release protocol that governs release of all data from the HMIS.

<table>
<thead>
<tr>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>CoC</td>
</tr>
</tbody>
</table>

5.15 Program Funding Training & Orientation.

All required participants pertaining to HMIS standards (including McKinney-Vento funded programs such as CoC, ESG, and HOPWA projects that target homelessness) receive training and orientation on regulations pertaining to McKinney-Vento funding.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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</thead>
<tbody>
<tr>
<td>CoC</td>
</tr>
</tbody>
</table>

6. Other Federal Requirements

6.1 Drug-Free Workplace

The HMIS Grantee adopts and enforces a drug-free workplace policy. The policy is posted and available for review.
6.2 Conflict of Interest

The HMIS Grantee adopts a conflict of interest policy for board members, staff, and volunteers.

### Responsible Party

| Responsible Party | HMIS Grantee |

6.3 Equal Opportunity & Non-Discrimination Policy

The HMIS Grantee adopts an equal opportunity and non-discrimination policy.

### Responsible Party

| Responsible Party | HMIS Grantee |
Glossary

This section provides HUD definitions for terms commonly used throughout this document.

Clarity Santa Clara County: This term refers to the implementation of the Clarity Human Services software as the county-wide HMIS for Santa Clara.

Clarity System: This term refers to the Clarity Human Services HMIS software.

Client: A living individual about whom a Contributory HMIS Organization (CHO) collects or maintains protected personal information: (1) because the individual is receiving, has received, may receive, or has inquired about assistance from a CHO; or (2) in order to identify needs, or to plan or develop appropriate assistance within the CoC.

Continuum of Care (CoC): The primary decision making entity defined in the funding application to HUD as the official body representing a community plan to organize and deliver housing and services to meet the specific needs of people who are homeless as they move to stable housing and maximum self-sufficiency.

CoC Program: A program identified by the CoC as part of its service system, whose primary purpose is to meet the specific needs of people who are experiencing a housing crisis.

Contributory CoC Program: A homeless assistance program or homelessness prevention program that contributes Protected Personal Information (PPI) or other client-level data to an HMIS.

Contributory HMIS Organization (CHO): An organization that operates a contributory homeless assistance program or homelessness prevention program or contributory non-homeless assistance program.

Data Recipient: A person who obtains PPI from an HMIS Lead Agency or from a CHO for research or other purposes not directly related to the operation of the HMIS, CoC, HMIS Lead Agency, or CHO.

End User (or User): An employee, volunteer, affiliate, associate, and any other individual acting on behalf of a CHO or HMIS Lead Agency who uses or enters data in the HMIS or another administrative database from which data are periodically uploaded to the HMIS.

HMIS Grantee: Entity responsible for soliciting, collecting, and analyzing feedback from end-users, program managers, agency executive directors, and homeless person

HMIS Lead Agency: An organization designated by a CoC to operate the CoC’s HMIS on its behalf.

HMIS Software Solution Provider: An organization that sells, licenses, donates, builds or otherwise supplies the HMIS user interface, application functionality and database.

HMIS User Committee: Group of entities that provide recommendations on use of software and software enhancements.
HMIS Vendor: A contractor who is paid to provide services for the operation of a CoC’s HMIS. An HMIS vendor includes an HMIS software solution provider, web server host, and data warehouse provider, as well as a provider of other contracted information technology or support.

Homeless Assistance Program: A program whose primary purpose is to meet the specific needs of people who are literally homeless (as defined in data element 3.11, Housing Status). Homeless assistance programs include outreach, emergency shelter, transitional housing, rapid re-housing, permanent housing and permanent supportive housing.

Homelessness Prevention Program: A program whose primary purpose is to meet the specific needs of people who are imminently losing their housing or at risk of losing their housing (as defined in data element 3.11, Housing Status.). Homelessness prevention programs include those funded by HPRP and other homelessness prevention programs identified by the CoC as part of its service system.

Homeless Management Information System (HMIS): The information system designated by a CoC to process Protected Personal Information (PPI) and other data in order to create an unduplicated accounting of homelessness within the CoC. An HMIS may provide other functions beyond unduplicated accounting.

Santa Clara County CoC Structure: Santa Clara County is one Continuum of Care which utilizes the Clarity System HMIS.

Non-Contributory CoC Program: A CoC Program that does not contribute PPI or other client-level data to an HMIS.

Participating CoC Program/Agency: A Contributory CoC Program or Agency that makes reasonable efforts to record all the universal data elements and all other required data elements as determined by HUD funding requirements on all clients served and discloses these data elements through agreed upon means to the HMIS Lead Agency at least once annually.

Protected Personal Information (PPI): Information about a client: (1) whose identity is apparent from the information or can reasonably be ascertained from the information; or (2) whose identity can, taking into account any methods reasonably likely to be used, be learned by linking the information with other available information or by otherwise manipulating the information.

Processing: An operation or set of operations performed on PPI, whether or not by automated means, including but not limited to collection, maintenance, use, disclosure, transmission, and destruction of the PPI.

Technical Administrator / Security Officer: This person is designated by each agency to serve the following roles: primary contact for communications regarding HMIS; supervise software implementation; responsible for ensuring compliance with applicable security standards; organize and schedule timely new user set-up and end user training; run package reports; collaborate with HMIS lead in the development of customized reports; and review and assess the security measures in place to protect client data.
Unduplicated Accounting of Homelessness: An unduplicated accounting of homelessness includes measuring the extent and nature of homelessness (including an unduplicated count of homeless persons), utilization of homelessness programs over time, and the effectiveness of homelessness programs.

Unduplicated Count of Homeless Persons: An enumeration of homeless persons where each person is counted only once during a defined period of time.

Victim Service Provider: A nonprofit or nongovernmental organization including rape crisis centers, battered women’s shelters, domestic violence transitional housing programs, and other programs whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking.
References


Revocation of Client Consent

**Clarity - Homeless Management Information System**

**Client Revocation of Consent to Release Information**

I hereby revoke permission for the partner agencies in the Santa Clara County Continuum of Care to share my personal information and information regarding my family in the Homeless Management Information System (HMIS). I understand that my information will remain in HMIS as part of the non-identifying data collected on homeless services provided by the Continuum of Care, but that my personal and family information will no longer be available to any partner agency.

_________________________  _________________________  ______________
Client Name (please print)  Client Signature  Date

__________________________  _______________________
Client HMIS Number (SSN)  ___________

**Executed At:**

_______________________________________________
Name of Partner Agency

__________________________  _______________________
Agency Personnel Name (print)  Agency Personnel Signature  Date
Comments:
(Comments and ideas from clients and case workers are encouraged):
Client Information Sheet

Clarity - Homeless Management Information
Client Information Sheet

This information sheet is available in several different languages and is also available in large print.

What is the HMIS System?
It is a networked, computerized record keeping system. HMIS stands for Homeless Management Information System, and is a requirement for all programs and agencies providing services to low-income and homeless households with the support of federal funds.

What is the purpose of the HMIS System?
The HMIS is used by provider agencies to record information about clients that they serve. This information helps the agencies plan for and provide services to clients. This information also can be shared among partnering agencies – in order to improve the coordination and delivery of your services. Partnering agencies have signed agreements to treat your information in a professional and confidential manner.

Why is this type of information being collected?
A summary of the information gathered from clients will be used to advocate for more adequate resources for homeless people. Gathering certain basic information (race, date of birth, family size, etc.) about you and the members of your household is also a requirement of the federal and local funding which supports this program.

How can the HMIS System benefit me, the client?
By gathering this information on you only once –you can be served by other agencies without reporting all the details (date of birth, social security number, last address, etc.) again and again. If there is a reason that providing your name or the name of other members of your household would place you (or your household member) at risk, then you can request that your information
NOT be shared with other agencies. You have the right to revoke the sharing of your information at any time simply by completing a “Client Revocation of Consent to Release Information” form. This form is available at any HMIS-participating agency.

Also, by using the information you provide for the HMIS, you and your case worker can work together to identify the services you need and work to obtain them.

Who has access to your information?
Only the staff who work directly with you, or who have administrative responsibilities in this organization will be authorized to look at, enter, or use information that is kept in your file. Report developers and Bitfocus staff may also see your data. There are strict guidelines for who has access to your information. Non-Identifying client data will be used by homeless advocates, shelter staff, and local, state, and federal officials to better address the needs of the homeless.

What are your rights as a client?
You may be required to answer some questions as a prerequisite for a program, but there will be other questions you can choose not to answer. You have a right to view your record and to correct inaccurate information. You also have a right to a copy of your record. We will also NEVER give any information (health, medical needs, mental health, domestic violence, etc.) about you to anyone outside this organization, UNLESS YOU GIVE WRITTEN CONSENT, or as required by law through a subpoena or a court order. If you choose to not answer any questions, you may not be able to receive services from this community.
SANTA CLARA COUNTY HMIS
PRIVACY STATEMENT

THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

The Santa Clara County Homeless Management Information System (“SCC HMIS”) is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care (“CoC”), SCC HMIS is administered by the County of Santa Clara (“County”) and Bitfocus, Inc. (“Bitfocus”) in a software application called Clarity Human Services (“Clarity”). This Privacy Statement (the “Privacy Statement”) describes how _________________ (the “Partner Agency,” or simply the “Agency”) may use and disclose your protected personal information (“PPI”), including identifying information (such as your name, birth date, gender, race, social security number, phone number, residence address, photographic likeness, and other similar identifying information) and financial information (such as your employment status, income verification, public assistance payments or allowances, food stamp allotments, and other similar financial information), as well as protected health information (“PHI”) included in your responses to questions asked as part of the standard HMIS intake. The Agency may be required to collect some PPI or PHI by law or by funders of the Agency’s programs. The Agency may choose to collect other PPI to improve housing or services quality; to identify patterns and monitor trends over time; to conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; to
enhance inter-agency coordination; and to monitor and report on the delivery, impact, and quality of housing and services. The Agency will not collect PPI without your written consent in the form of one or more existing Client Consent to Data Collection and Release of Information form(s).

The Agency will use and release your PPI and PHI to:

1. Verify your eligibility and prioritization for services;
2. Provide you with or refer you to services that meet your needs;
3. Manage and evaluate the performance of its programs;
4. Report on program operations and outcomes to funders of its programs or apply for additional funding to support the program serving you or other programs;
5. Collaborate with other local agencies to improve service coordination and delivery, reduce gaps in services, and develop community-wide strategic plans to address basic human needs; or
6. Participate in research projects to better understand the needs of populations served.

This agency may also be required to release your PPI for the following reasons:

1. When the law requires it;
2. When necessary to prevent or respond to a serious and imminent threat to health or safety; or
3. When a judge, law enforcement agency, or administrative agency issues an order.

The Agency will use and release your PPI and PHI to the minimum extent necessary to effect the purposes of using and releasing it under the circumstances. Use and release of your PPI other than those described above will not be made without your written consent in the form of one or more existing Client Consent to Data Collection and Release of Information form(s). As detailed in such form(s), you have the right to revoke your consent by submitting a written and signed request to revoke your consent to:

Bitfocus, Inc.
ATTN: SCC HMIS
9101 W. Sahara Ave. #105-158
Las Vegas, NV 89117
Consent may be revoked verbally for records relating to drug/alcohol treatment or mental health treatment.

You also have the right to request in writing:
1. A copy of all PPI and PHI collected;
2. Any change to any PPI or PHI used to make decisions about your care and services (provided, however, that this request may be denied at the Agency’s discretion, but your request will be noted in the program records);
3. An account of all releases of your PPI and PHI;
4. Restrictions on the type of information released to other Partner Agencies; and
5. A current copy of this Privacy Statement and a record of all amendments made hereto.

The Agency reserves the right to refuse your request under any of the following circumstances:
1. The information responsive to your request was or is being compiled in reasonable anticipation of litigation or comparable proceedings;
2. The record responsive to your request includes information about another individual (other than a health care or homeless services provider);
3. The information responsive to your request was obtained under a promise of confidentiality (other than a promise from a health care or homeless services provider) and release of such information would reveal the source of the information; or
4. The Agency reasonably believes that release of the information responsive to your request would result in the endangerment of the life or physical safety of any individual.

If your request is denied, you will receive a written explanation of the reason for such denial. Additionally, you have the right to appeal the denial by following Agency grievance procedures. Regardless of the result of your appeal, you have the right to add to your records a concise statement of disagreement. The Agency will release such statement of disagreement whenever it releases the disputed PPI to another individual or entity. All agents and representatives of the Agency with access to your PPI and PHI are required to complete formal training in privacy requirements at least annually.
This Privacy Statement may be amended at any time. Amendments may affect information obtained by the Agency before the date of the change. An amendment to this Privacy Statement regarding use or release of information will be effective with respect to information processed before the amendment, unless otherwise stated.

This Privacy Statement reflects the basic requirements of the most recent versions of the HMIS Data Standards Manual and HMIS Data Dictionary issued by the U.S. Department of Housing and Urban Development (“HUD”). To the extent that this Privacy Statement is not consistent with HUD’s basic requirements described above, HUD’s requirements will control.

All questions and requests related to this Privacy Statement should be directed to:

__________________________________________________
[Name and Title of Agency Security Officer or Chief Privacy Officer]
Address: ____________________________

Phone: ____________________________

Email: ____________________________
EXHIBIT D

Client Consent for Release of Information

>>PLEASE SEE FOLLOWING PAGES<<
SANTA CLARA COUNTY HMIS
CLIENT CONSENT TO DATA COLLECTION AND RELEASE OF INFORMATION

THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

The Santa Clara County Homeless Management Information System (“SCC HMIS”) is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care (“CoC”), SCC HMIS is administered by the County of Santa Clara (“County”) and Bitfocus, Inc. (“Bitfocus”) in a software application called Clarity Human Services (“Clarity”). Clients must consent to the collection, use, and release of their information, which helps the CoC to provide quality housing and services to homeless and low-income people.

Client information is collected in SCC HMIS and released to housing and services providers (each, a “Partner Agency,” and collectively, the “Partner Agencies”), which includes community based organizations and government agencies. Partner Agencies use the information in SCC HMIS: to improve housing and services quality; to identify patterns and monitor trends over time; to conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; to enhance inter-agency coordination; and to monitor and report on the delivery, impact, and quality of housing and services.

Client information is protected by limiting access rights to the database and by limiting the parties to whom the confidential information may be released, in compliance with federal, state, and local regulations governing the confidentiality of client records. Each person or agency with access rights to SCC HMIS, or to whom client information is released, must sign an agreement to maintain the security and confidentiality of client information. Upon any violation of the agreement, access rights may be terminated, and the person or agency found to be in violation of the agreement may be subject to further penalties.

BY SIGNING THIS FORM, I AUTHORIZE THE FOLLOWING:

- I authorize the County, Bitfocus, the CoC, the Partner Agencies, and their authorized agents and representatives to collect, use, and share basic information about me. I understand that the Partner Agencies may change over time, and that a current list of Partner Agencies has been provided to me. I also understand that I may request an updated list at any time or view the list at: http://scc.hmis.cc/partner-agencies.html. I

Version 2015-08-31

This form may not be amended or modified except on approval of the County of Santa Clara’s Office of Supportive Housing.
Please send all requests for changes to support@bitfocus.com.
understand that the collection, use, and release of this information is for the purpose of assessing my needs for housing, counseling, food, utility assistance, or other services.

- By initialing one or more of the space(s) in the table below, I authorize that the information or records entered into SCC HMIS may include the following specific types of protected personal information (“PPI”) and protected health information (“PHI”). If I do not initial one or more space(s) in the table below, I do not authorize the specific type of information to be entered into SCC HMIS:

<table>
<thead>
<tr>
<th>Client initials</th>
<th>Type of PPI/PHI</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Identifying information (including: name, birth date, gender, race, ethnicity, social security number, phone number, residence address, or other similar identifying information)</td>
</tr>
<tr>
<td></td>
<td>• My photograph or other likeness</td>
</tr>
<tr>
<td></td>
<td>• Medical information included in my responses to questions asked as part of the standard HMIS intake and identification as a client or patient of the Santa Clara Valley Health and Hospital System</td>
</tr>
<tr>
<td></td>
<td>• HIV/AIDS-related information included in my responses to questions asked as part of the standard HMIS intake</td>
</tr>
<tr>
<td></td>
<td>• Mental health information included in my responses to questions asked as part of the standard HMIS intake and identification as a client receiving mental health services from the County’s Behavioral Health Services Department</td>
</tr>
<tr>
<td></td>
<td>• Substance abuse treatment information included in my responses to questions asked as part of the standard HMIS intake and identification as a client receiving substance abuse or alcohol treatment from the County’s Behavioral Health Services Department</td>
</tr>
<tr>
<td></td>
<td>• Financial and benefits information (including: employment status, income verification, public assistance payments or allowances, food stamp allotments, health care coverage, or other similar financial or benefits information)</td>
</tr>
<tr>
<td></td>
<td>• Housing information</td>
</tr>
<tr>
<td></td>
<td>• Information about services provided by HMIS Partner Agencies (including: date, duration, and type of service; and other similar service information)</td>
</tr>
</tbody>
</table>
|                 | • Other (specify): _____________________________________________________________  
|                 | _____________________________________________________________  

Version 2015-08-31

This form may not be amended or modified except on approval of the County of Santa Clara’s Office of Supportive Housing.
Please send all requests for changes to support@bitfocus.com.
• I authorize Partner Agencies and their authorized agents and representatives to use the PPI and PHI collected in SCC HMIS to prioritize me for and refer me to housing and services. I further authorize the Partner Agencies and their authorized agents and representatives to communicate with other Partner Agencies and their authorized agents and representatives about my case for the purposes of coordinating prioritization and placement and determining eligibility for housing and services.

BY SIGNING THIS FORM, I UNDERSTAND THAT:

• **This Consent will expire on [insert date] _________________.** This consent is not valid if an expiration date is not included.

• Use of my likeness in a photograph will be viewable by the Partner Agencies and their authorized agents and representatives. The photograph may be cropped or edited as needed.

• The Partner Agencies and their authorized agents and representatives individually have signed agreements to maintain the security and confidentiality of my information. I have the right to review all applicable confidentiality policies and signed agreements.

• **I understand that I may refuse to sign this Consent.** My refusal will not affect my eligibility for benefits or services, or my ability to obtain treatment or payment. In addition, consenting to the release of my information does not guarantee that I will receive services, and my refusal to consent does not disqualify me from receiving services. I have a right to receive a copy of this authorization.

• I may revoke this Consent at any time, but I must do so in writing and submit it to the following address. This Consent may be revoked verbally for records relating to drug/alcohol treatment or mental health treatment.

  Bitfocus, Inc.
  ATTN: SCC HMIS
  9101 W. Sahara Ave. #105-158
  Las Vegas, NV 89117

• If I revoke this Consent, the revocation will take effect upon receipt, except to the extent
that others have acted in reliance upon this Consent.

- My PPI and PHI are protected by federal, state, and local regulations governing the confidentiality of client records. My information cannot be released without my written consent, except to the extent that the regulations provide otherwise.

- Auditors or funders who have legal rights to monitor or review the work of one or more Partner Agencies, including the U.S. Department of Housing and Urban Development, may view my PPI in the ordinary course of their work.

- Bitfocus serves as the System Administrator for SCC HMIS and software vendor of Clarity. To the extent that authorized agents and representatives of Bitfocus perform work on SCC HMIS, they may view my information in the ordinary course of their work.

- Partner Agencies and their authorized agents and representatives who use SCC HMIS to research and write reports have signed agreements to maintain the security and confidentiality of client information.

- I understand that medical, HIV/AIDS, mental health, and drug and alcohol records are protected under various federal and state regulations, including California Welfare and Institutions Code Section 5328, Confidentiality of Medical Information Act, California Civil Code Section 56.10 (CMIA), the Health Insurance Portability and Accountability Act, 45 C.F.R., parts 160 and 164 (“HIPAA”), and the Federal Regulations Governing Confidentiality of Drug Abuse Patient Records, 42 C.F.R., Part 2, and cannot be disclosed without my written consent unless otherwise permitted by law.

- I expressly authorize my information disclosed pursuant to this Consent to be further disclosed by the recipients listed above for the purposes of assessing my needs for housing, counseling, food, utility assistance, or other services as part of the work of the CoC and HMIS.

[Signatures on the following page]
SIGNATURE

Date: _____________________      Time: __________________ AM/PM

Signature of Patient/Client or Representative:

_________________________________________________________________

If signed by a person other than the patient/client, indicate relationship:

_________________________________________________________________

Print Name:

_________________________________________________________________

THE FOLLOWING IS REQUIRED ONLY FOR RELEASE OF INFORMATION FOR CLIENTS RECEIVING MENTAL HEALTH SERVICES FROM THE COUNTY’S BEHAVIORAL HEALTH SERVICES DEPARTMENT, OR AS OTHERWISE OUTLINED IN CALIFORNIA WELFARE AND INSTITUTIONS CODE SECTION 5328:

☐ I authorize the release of the requested information.

☐ I do not authorize the release of the requested information.

Signature of Authorized Mental Health Staff:

_________________________________________________________________

Name/Title:

_________________________________________________________________

Version 2015-08-31

This form may not be amended or modified except on approval of the County of Santa Clara’s Office of Supportive Housing. Please send all requests for changes to support@bitfocus.com.
Client Grievance Form

Instructions

HMIS Clients are encouraged to work with the agency they are having issues with before submitting a grievance. A grievance should be used as a last resort. All grievances are taken VERY seriously, and reviewed by the HMIS Working Group on an individual basis.

If you have not been able to resolve your issue with the agency directly, please complete the attached form.

- Complete ALL fields
- Print Legibly
- Be as specific and as detailed as possible
- Attach additional pages as necessary
- Sign and Date the form

After you have completed the form, please deliver the form to Bitfocus, Inc. in any ONE of the following ways:

- Via FAX at: (702) 991-1881
- Via US Mail at:
  Bitfocus, Inc.
  9101 W. Sahara Ave #105-158
  Las Vegas, NV 89117

If you have any questions about completing this form, please call (702) 614-6690 and ask to speak with the HMIS Project Manager.
EXHIBIT F

User Policy & Responsibility Statement (End User Agreement)

>>PLEASE SEE FOLLOWING PAGES<<
The Santa Clara County Homeless Management Information System ("SCC HMIS") is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care ("CoC"), SCC HMIS is administered by the County of Santa Clara ("County") and Bitfocus, Inc. ("Bitfocus") in a software application called Clarity Human Services ("Clarity"). Clients must consent to the collection, use, and release of their information, which helps the CoC to provide quality housing and services to homeless and low-income people.

Client information is collected in SCC HMIS and released to housing and services providers (each, a “Partner Agency,” and collectively, the “Partner Agencies”), which includes community based organizations and government agencies. Partner Agencies use the information in SCC HMIS: to improve housing and services quality; to identify patterns and monitor trends over time; to conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; to enhance inter-agency coordination; and to monitor and report on the delivery, impact, and quality of housing and services.

SCC HMIS follows the HMIS data standards established by the U.S. Department of Housing and Urban Development ("HUD") in the most recent versions of HUD’s HMIS Data Standards Manual and HMIS Data Dictionary or other applicable publications. As a Partner Agency authorized agent or representative (an “SCC HMIS End User,” or simply an “End User”), you will play a critical role in collecting and entering valuable data and safeguarding client confidentiality.

Please initial below to indicate your understanding and acceptance of your responsibility regarding SCC HMIS.

<table>
<thead>
<tr>
<th>Initials</th>
<th>I have read and understood, and I agree to comply with, the most recent versions of the SCC HMIS Standard Operating Procedures and the SCC HMIS Security Plan.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>I have read and understood, and I agree to comply with, my Partner Agency’s Privacy Statement.</td>
</tr>
<tr>
<td></td>
<td>I understand that my user identification and password information are for my use only and must not be used by or shared with anyone other than me.</td>
</tr>
<tr>
<td></td>
<td>I will keep my password information electronically and physically secure.</td>
</tr>
<tr>
<td></td>
<td>I understand that the only individuals who may view or receive SCC HMIS client-level information are authorized SCC HMIS End Users and the clients to whom the information pertains. I further understand that not all SCC HMIS End Users have the same level of access to client-level information, and that I cannot share client-level information from HMIS with anyone, including other SCC HMIS End Users, except through the HMIS system.</td>
</tr>
<tr>
<td></td>
<td>I understand that these duties and responsibilities apply to all End Users of SCC HMIS, regardless of position, role, or authority.</td>
</tr>
<tr>
<td></td>
<td>I will only view, obtain, disclose, or use the SCC HMIS information to perform my assigned duties on behalf of the Partner Agency named below.</td>
</tr>
<tr>
<td></td>
<td>I have verified that there is a copy of the SCC HMIS Privacy Statement posted at every workstation where I may be collecting SCC HMIS data.</td>
</tr>
<tr>
<td>Initials</td>
<td></td>
</tr>
<tr>
<td>----------</td>
<td></td>
</tr>
<tr>
<td>If I am logged in to SCC HMIS and must leave the workstation where the computer is located, I will log out of HMIS before I step away from the workstation.</td>
<td></td>
</tr>
<tr>
<td>I will keep all SCC HMIS information, whether in hard copy or electronic form, secure and confidential at all times, and when the information is no longer needed I will ensure that it is properly destroyed to maintain confidentiality.</td>
<td></td>
</tr>
<tr>
<td>If I notice or suspect a breach of SCC HMIS system security or client confidentiality standards, I will immediately notify the Partner Agency Technical Administrator and Security Officer.</td>
<td></td>
</tr>
<tr>
<td>I will not knowingly enter false or malicious information into SCC HMIS.</td>
<td></td>
</tr>
<tr>
<td>I understand that it is my responsibility to ensure that I am always using the most recent versions of SCC HMIS standard forms and workflow.</td>
<td></td>
</tr>
<tr>
<td>I will secure informed consent from each client from whom information is collected, and I have completed the SCC HMIS Client Consent Training most recently on ____________ (please print date).</td>
<td></td>
</tr>
<tr>
<td>I will follow the standards and recommendations of the SCC HMIS Data Quality Plan, and I will always strive to ensure that the information recorded in SCC HMIS is current and accurate.</td>
<td></td>
</tr>
<tr>
<td>I understand that my user identification and password information will terminate upon a change in my employment status or if I no longer require HMIS to perform my assigned duties on behalf of the Partner Agency named below.</td>
<td></td>
</tr>
<tr>
<td>I will not use information recorded in SCC HMIS to discriminate against a client in housing or services directly or indirectly on the basis of race, ethnicity, ancestry, skin color, religion, sex, gender identity, sexual orientation, national origin, age, familial status, or disability.</td>
<td></td>
</tr>
<tr>
<td>As partners working toward common outcomes in a shared system, I will treat all SCC HMIS Partner Agencies and all SCC HMIS End Users with fairness, respect, and trust.</td>
<td></td>
</tr>
<tr>
<td>I have completed the SCC HMIS Privacy and Security Training most recently on ______________ (please print date). I will attend a refresher training annually.</td>
<td></td>
</tr>
<tr>
<td>I have completed the SCC HMIS Workflow Training most recently on ______________ (please print date). I will attend a refresher training annually.</td>
<td></td>
</tr>
</tbody>
</table>

Partner Agency Name: _________________________ SCC HMIS End User Name: ________________________

By signing below, I re-affirm that I understand and agree to comply with each statement listed above.

<table>
<thead>
<tr>
<th>HMIS SCC End User Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>(To be completed by the Partner Agency Technical Administrator)</td>
<td></td>
</tr>
<tr>
<td>I certify that the End User named above requires access to HMIS to perform her or his assigned duties and that she or he has completed the SCC HMIS Privacy and Security Training and the SCC HMIS Workflow Training.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Partner Agency Technical Administrator Printed Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>-----------------------------------------------------</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Partner Agency Technical Administrator Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

The Partner Agency must retain the original signed copy of this form for seven (7) years from the latest date above. A copy should be readily available in a file maintained by the Partner Agency Technical Administrator.
EXHIBIT G

HMIS Disaster Recovery Plan

>>PLEASE SEE FOLLOWING PAGES<<
Purpose: One of the objectives of Silver Spur Systems LLC’s information security department is to establish an IT Disaster Recovery Plan. This Disaster Recovery Plan document was created to assist Silver Spur Systems LLC in the development of consistent and cohesive IT Disaster Recovery Plans.

This is a summary document which omits key infrastructure references to protect our Information Security Infrastructure.
Introduction

The purpose of this summary is to document a Disaster Recovery Plan that addresses information resources as they may be affected in the event of a disaster. This document is meant to minimize any of these effects, and enable Clarity Human Services to either maintain, or quickly resume, mission-critical functions. This Disaster Recovery Plan also serves as the primary guide for Silver Spur Systems LLC Information Technology Services Department in the recovery and restoration of the information technology systems in the event that they are damaged or destroyed as a result of a disaster.

Document Overview

The Disaster Recovery Plan is composed of numerous sections documenting the resources and procedures to be used in the event that a disaster occurs at the data center, which is located at Viawest in Las Vegas, Nevada. Separate sections are devoted to the specific recovery procedures for each supported application or platform. Also included are sections documenting the personnel requirements that are necessary to perform each recovery task. This plan will be updated on a regular basis as changes to the computing and networking systems are made. Due to the very sensitive nature of the information contained in the plan, this summary omits several key references.

PERSONNEL AUTHORIZED TO DECLARE A DISASTER OR RESUME NORMAL OPERATIONS

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robert Herdzik</td>
<td>President &amp; CEO</td>
</tr>
<tr>
<td>Tauri Royce</td>
<td>Project Manager</td>
</tr>
</tbody>
</table>

Disaster Recovery Plan Summary
Plan Activation

This plan will be activated in response to internal or external threats to the Information Technology Systems of Silver Spur Systems LLC. Internal threats could include fire, bomb threat, loss of power or other utility or other incidents that threaten the staff and/or the facility. External threats include events that put the facility in danger. Examples might include severe weather or a disruptive incident in the community. Once a threat has been confirmed, the plan management team will assess the situation and initiate the plan if necessary.

Resumption of Normal Activities

Once the threat has passed, equipment will be repaired and/or replaced, and/or a new data center will be transitioned. The disaster recovery team will then assess the situation; if the disaster has expired, the team will resume normal operations.

Plan Objectives

The primary objectives of this plan are to protect Silver Spur Systems’ computing resources, to safeguard the vital records of which Clarity Human Services is the custodian, and to guarantee the continued availability of essential IT services. The role of this plan is to document the pre-agreed decisions and to design and implement a sufficient set of procedures for responding to a disaster that involves the data center and its services.

A disaster is defined as the occurrence of any event that causes a significant disruption in IT capabilities. This plan assumes the most severe disaster, the kind that requires moving computing resources to another location. Less severe disasters are controlled at the appropriate management level as outlined in this plan.

The basic approach, general assumptions, and possible sequence of events that need to be followed are stated in the plan. It will outline specific preparations prior to a disaster and emergency procedures immediately after a disaster. The plan is a roadmap from disaster to recovery. Due to the nature of the disaster, the steps outlined may be skipped or performed in a different sequence. The general approach is to make the plan as threat independent as possible. This means that it should be functional regardless of what type of disaster occurs.

For the recovery process to be effective, the plan is organized around a team concept. Each team has specific duties and responsibilities once the decision is made to invoke the disaster recovery mode. The leader of each team and their alternates are key personnel. IT staff will be assigned to multiple teams with specific assignments made according to knowledge, experience and availability. It is also assumed vendors and knowledgeable personnel will be actively enlisted to help during a recovery situation.
The plan represents a dynamic process that will be kept current through updates, testing, and reviews. As recommendations are completed or as new areas of concern are recognized, the plan will be revised to reflect the current IT environment.

**Disaster Recovery Phases**

The disaster recovery process consists of four phases. They are:

- **Phase 1:** Disaster Assessment
- **Phase 2:** Disaster Recovery Activation
- **Phase 3:** Alternate Site/Data Center Rebuild
- **Phase 4:** Return Home

**Phase 1: Disaster Assessment**

The disaster assessment phase lasts from the inception of the disaster until it is under control and the extent of the damage can be assessed. Cooperation with Viawest emergency personnel is critical.

**Phase 2: Disaster Recovery Activation**

This phase begins if the decision to move primary processing to a location is made. The Disaster Recovery Management Team will assemble at the command center and call upon team members to perform their assigned tasks. The most important function is to fully restore operations at a suitable location and resume normal functions. Once normal operations are established at the alternate location, Phase 2 is complete.

**Phase 3: Alternate Site Operation/Data Center Rebuild**

This phase involves continuing operations at the alternate location. In addition, the process of restoring the primary site will be performed.

**Phase 4: Return Home**
This phase involves the reactivation of the primary data center at either the original or possibly a new location. The activation of this site does not have to be as rushed as the activation of the alternate recovery center. At the end of this phase, a thorough review of the disaster recovery process should be taken. Any deficiencies in this plan can be corrected by updating the plan.

**Key Disaster Recovery Activities**

**Declaring a Disaster**

Declaring a disaster means:

2. Activating the recovery plan  
3. Notifying team leaders & staff  
4. Notifying key management contacts  
5. Notifying affected customer contacts  
6. Securing a new location for the data center  
7. Ordering and configuring replacement equipment  
8. Reconfiguring the network  
9. Restoring Virtual Machine infrastructure from onsite or offsite Backup  
10. Keeping management informed  
11. Keeping customer contacts informed

**Disaster Decision Tree**

<table>
<thead>
<tr>
<th>Event</th>
<th>Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Center destroyed</td>
<td>Activate disaster recovery plan</td>
</tr>
<tr>
<td>Data Center unusable for MORE than 2 days</td>
<td>Activate disaster recovery plan</td>
</tr>
<tr>
<td>Data Center unusable for 2 days or LESS</td>
<td>Management Team perform an assessment</td>
</tr>
<tr>
<td>Network down</td>
<td>Management Team perform an assessment</td>
</tr>
<tr>
<td>Environmental problems (A/C, power, etc)</td>
<td>Management Team perform an assessment</td>
</tr>
</tbody>
</table>

**Decision Making For A Data Center Disaster**

<table>
<thead>
<tr>
<th>Decision Point</th>
<th>Actions</th>
<th>Category</th>
</tr>
</thead>
</table>

Page 46 of 85
<table>
<thead>
<tr>
<th>Decision Point</th>
<th>Actions</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Incident occurs</td>
<td>2. Alarm sounds</td>
<td>4. Ensure all employees evacuated</td>
</tr>
<tr>
<td>7. Determine if incident is real</td>
<td>8. If no, then</td>
<td>9. Recovery plan is not activated</td>
</tr>
<tr>
<td>7. Determine if incident is real</td>
<td>8. If yes, then</td>
<td>9. Switch call handling to an alternate location</td>
</tr>
<tr>
<td>10. Determine scope of incident and assess damage after building access is allowed</td>
<td>11. If small scope with no to minimal damage, then</td>
<td>12. Return and begin clean up and monitor repairs</td>
</tr>
<tr>
<td>10. Determine scope of incident and assess damage after building access is allowed</td>
<td>11. If moderate to large scope or moderate to severe damage, then</td>
<td>12. Activate alternate computer processing site</td>
</tr>
<tr>
<td>16. Assess damage</td>
<td>17. If damage is moderate and will be able to return in 30 days or less</td>
<td>18. Complete repairs as necessary while operating at alternate site</td>
</tr>
<tr>
<td>16. Assess damage</td>
<td>17. If more than 30 days, locate to new facility</td>
<td>18. Order supplies and equipment</td>
</tr>
</tbody>
</table>
Recovery Time Objectives (RTO)

The Recovery Time Objectives reflect the estimated recovery times based on current configurations and operations.

<table>
<thead>
<tr>
<th>NETWORK SERVICE</th>
<th>RECOVERY GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>LAN (Local Area Network)</td>
<td>2-3 days estimate</td>
</tr>
<tr>
<td>WAN (Wide Area Network)</td>
<td>2 days estimate</td>
</tr>
<tr>
<td>Internet</td>
<td>2 days estimate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>APPLICATION RECOVERY TIER</th>
<th>RECOVERY GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructure Servers</td>
<td>Immediately after WAN/Internet restore</td>
</tr>
<tr>
<td>Application / SQL Servers</td>
<td>3 days after LAN/WAN restore</td>
</tr>
<tr>
<td>Reporting Servers</td>
<td>5 days after LAN/WAN restore</td>
</tr>
</tbody>
</table>

These RTO’s should be considered best-case estimates. Silver Spur Systems LLC operates on a VMware virtual environment, with all server tiers fully virtualized. In the event of a disaster, the Disaster Assessment Team would assess the situation to determine if the local VM backups or the offsite VM backups (Amazon S3/Glacier) would be selected for recovery.

Once the assessment is complete, the Disaster Assessment Team will determine which temporary Data Center location to restore to. Current options are identified as Amazon Cloud or our Reno Data Center. Both locations are on standby.
Recovery Point Objectives (RPO)

Recovery Point Objectives (RPO) reflects the estimated point in time to which recovery would be made based on current configurations and operations. The exact recovery point for each server will vary due to the time when the backup takes place and when the disaster occurs. Below are general guidelines for the different types of DR data protection.

<table>
<thead>
<tr>
<th>DATA PROTECTION TYPE</th>
<th>RECOVERY POINT (AGE OF DATA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Onsite Backup</td>
<td>Up to 24 hours from disaster period.</td>
</tr>
<tr>
<td>Offsite Backup</td>
<td>Up to 7 days from disaster period.</td>
</tr>
</tbody>
</table>

Customers who have purchased additional Disaster Recovery SLA plans may have shorter RPO.

Roles of the Disaster Recovery Coordinator

The function of the Disaster Recovery Coordinator is vitally important to maintaining the plan in a consistent state of readiness. The Recovery Coordinator’s role is multifaceted. Not only does the Coordinator assume a lead position in the ongoing life of the plan, but the Coordinator is a member of the Continuity Management Team in the event of a computer disaster.

The primary responsibilities of the Disaster Recovery Plan Coordinator are as follows:

- Distribution of the Disaster Recovery Plan
- Training the Disaster Recovery Teams
- Testing of the Disaster Recovery Plan
- Evaluation of the Disaster Recovery Plan Tests
- Review, change and update the Disaster Recovery Plan

In a disaster situation, the Disaster Recovery Plan Coordinator will:

- Facilitate communication between technical and non-technical staff
- Act as a Project Manager to coordinate the efforts of:
  - Technical Staff
  - Business Staff
  - Vendors
  - Other personnel as needed
The Disaster Recovery Coordinator for Silver Spur Systems LLC is Robert Herdzik. The alternate Disaster Recovery Plan Coordinator is Yanis Guenane.

Overview of Offsite Storage

Items Stored Offsite

1. Router / VPN Firmware and Export Settings.
2. A current copy of this disaster recovery plan.
3. A copy of Veeam Backup & Recovery 7 extract utility.

All standard security and privacy precautions apply to offsite storage. The offsite storage facility is equipped with surge protectors and natural disaster protective measures.

Onsite backup includes all of the above, including nightly full Virtual Machine incremental backups of entire infrastructure and data.

Server Recovery General Information

These procedures outline the steps required to restore any of Silver Spur Systems LLC servers. Recovery for the servers assume that:

- Good backup data exists and can be retrieved from either onsite or offsite storage
- Replacement servers are on standby or Amazon Cloud servers are on standby
- Network connectivity is established

A decision must be made as to where the recovery will take place (Amazon Cloud or Reno Data Center). This decision is not made ahead of time since the specifics of the incident requiring recovery is not known.

Disaster Recovery Plan Maintenance

The disaster recovery plan is a “living” document. Failure to keep it current could severely impact Silver Spur Systems ability to successfully recover in the event of a disaster.
Some information contain in the plan is more dynamic than other information. A matrix of events and recommended maintenance schedule is included in this section. It is important to document changes to the plan and ensure that all copies of the plan are updated.

Changes to the plan could occur more frequently than the time frames listed in the following table. Major hardware upgrades might affect business recovery contracts as well as this plan. Software changes, personnel changes and other changes that affect the plan should be updated as soon as possible, not just when the recommended intervals occur.

<table>
<thead>
<tr>
<th>PERIOD</th>
<th>ACTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarterly</td>
<td>Review all job changes and update plan with new personnel assignments</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Have any new application servers been implemented? If so, have all disaster recovery implication been addressed?</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Have there been any major changes to existing applications? If so, update the recovery plan accordingly</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Has the hardware configuration changed? If the changes affect your ability to recover, make appropriate changes to the recovery configuration</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Update the Network Configuration Diagrams / Infrastructure Wiki</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Visit the off-site storage location and ensure documentation is available and current</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Ensure all team assignments are still valid</td>
</tr>
<tr>
<td>Semiannually</td>
<td>Test the plan and update it based on the results of the test</td>
</tr>
<tr>
<td>Annually</td>
<td>Review Amazon S3 / Glacier retention requirements</td>
</tr>
<tr>
<td>Annually</td>
<td>Review Insurance coverage</td>
</tr>
</tbody>
</table>

Testing the Disaster Recovery Plan
The Disaster Recovery Coordinator is responsible for testing of the disaster recovery plan at least annually to ensure the viability of the plan. On an on-going basis this frequency appears to be adequate considering the systems involved. However, special tests are to be given consideration whether there has been a major revision to the plan or significant changes in the software, hardware or data communications have occurred.

The objectives of testing the disaster recovery plan are as follows:

- Simulate the conditions of an ACTUAL Business Recovery situation.
- Determine the feasibility of the recovery process.
- Identify deficiencies in the existing procedures.
- Test the completeness of the business recovery information stored at the Offsite Storage Location.
- Train members of the disaster recovery teams.

The initial test of the plan will be in the form of a structured walk-through and should occur within two months of the disaster recovery plan’s acceptance. Subsequent tests should be to the extent determined by the Disaster Recovery Coordinator that are cost effective and meet the benefits and objectives desired.

Sample Recovery Test Agenda

1. What is the PURPOSE of the test?
2. What are the test OBJECTIVES?
3. How will the successful achievement of these objectives be measured?
4. At the conclusion of the test, collect test measurements from all participants.
5. Evaluate the test results. Determine if the test was successful or not.
6. Determine the implications of the test results. Does success for this test imply success in all recovery scenarios?
7. Update the plan based on results of the test.
EXHIBIT H

HMIS Security Plan

>>PLEASE SEE FOLLOWING PAGES<<
Purpose: The purposes of this HMIS Security Plan are as follows:
• Provide an overview of the security requirements of the Clarity Human Services HMIS application, and describe the controls in place or planned for meeting those requirements; and
• Delineate responsibilities and expected behavior of all individuals who access the system.

In accordance with the HMIS standards outlined by the U.S. Department of Housing and Urban Development, this Security Plan is to be reviewed and updated annually.
Introduction

Bitfocus Inc.

Bitfocus is a consultancy firm that provides the following HMIS Implementation services to the HMIS Lead Agency:

- HMIS Software and Server Administration
- Telephone Help Desk Support
- Ticket Support
- HMIS Implementation and Maintenance
- Remote Web Based and On-Site Training
- Remote Web Based and On-Site Technical Assistance
- Training Manual and Procedural Documentation
- Custom Report Writing
- Data Warehouse Development and Administration
- HMIS Working Group Meeting engagement
- Planning and Policy Making
- AHAR, APR, and QPR support

Bitfocus Inc. provides HMIS Administration services for:

- SANTA CLARA COUNTY (CoC)

The Clarity Human Services HMIS Application

The Clarity Human Services HMIS Application is a cloud-based system that offers a comprehensive and end-user adjustable HMIS solution to meet the multiple integration, implementation, and management requirements of the Santa Clara County Continuum of Care.

General Description of HMIS Information Sensitivity

Clarity Human Services HMIS application stores and protects confidential individually identifiable health information. As such, it is equipped with a series of administrative,
physical, and technical safeguards for covered entities and their business associates to use to assure the confidentiality, integrity, and availability of electronic protected health information.

**Applicable Laws Or Regulations Affecting The System**

**The Health Insurance Portability and Accountability Act of 1996 (HIPAA)**

HIPAA’s Privacy Rule states that “Individually Identifiable Health Information” is to be considered “protected health information” [PHI] subject to the review and control of individual patients. Agencies and other entities handling PHI are mandated to restrict access to such information to appropriate persons and protect the privacy of individuals. Clarity Human Services includes customization features at micro and macro levels to automate the enforcement of federal, state, and local privacy requirements such as HIPAA.

Clarity Human Services Security Tools enable each partner agency to define which client data is shared with other agencies at every level, including the field level. The default data sharing setup associated with each partner agency can be defined on an agency-by-agency basis (i.e., Agency A may share all client data with Agency B, nothing with Agency C, and only core ID data with Agency D). Our privacy settings can be adjusted to override the default privacy configuration of each agency upon the request of the client.

Bitfocus, Inc. can confirm the capacity of Clarity Human Services to both meet and surpass current HIPAA & HUD requirements and the pending updates to these requirements.

**HUD Homeless Management Information Systems Requirements**

Bitfocus Inc. maintains operations that are in accordance with the most current HMIS Systems requirements as prescribed by the U.S. Department of Housing & Urban Development (HUD).

**System Environment**
The Clarity Human Services HMIS Application is a cloud-based system equipped with the following technical security features:

- **Hardware Firewall**: The firewall forwards only port 443 (Encrypted SSL) to the internal web server.

- **Software Firewall**: Each customer webserver on the internal network is also protected by a software firewall.

- **VPN Access**: Access to the internal network is only possible via an encrypted VPN connection. Access to the internal network is only provided to Clarity Human Services staff, and System Administrators, and our customers.

- **Database Server**: The database is housed on an internal server, inaccessible from the public network.

- **Encryption**: All traffic is 2,048 bit SSL encrypted. All API traffic must be further AES encrypted

- **PKI Encryption**: Customers may opt for staff or agency-level PKI encryption. Customers utilizing this method require an additional PKI certificate to be installed in their web browser to authenticate. PKI Certificates are fully administered within the System Administrator interface.

- **Encryption**: 2,048 bit SSL for all traffic

- **IP Whitelist**: Customers may opt for staff or agency level IP Whitelisting. Customers utilizing this method require each user to login from a System Administrator defined list of allowed IP Addresses

**System Interconnection/Information Sharing**

**Role-Based Security**

Clarity Human Services is designed around a sophisticated Access Control List (ACL) model, which provides granular level permissions to all areas of Clarity Human Services. The ACL was implemented using access roles. Individual access roles are assigned to a user to dictate which areas of the system they can view, what they can read/write/edit or delete, and how those roles relate to agencies they are potentially sharing data with. The ACL was designed to be completely transparent to the end user. Any areas of the system to which they are denied access are eliminated from view, providing a seamless user experience on any access role.

**Agency Sharing**
If a participating agency wishes to share data through the HMIS with one or more other agencies:

1. All agencies wishing to share data must meet with Bitfocus to discuss and address all details of data sharing. For example: What information is to be shared, direction of sharing, etc.
2. A separate Memorandum of Understanding must be created between Bitfocus and all agencies that will participate in the inter-agency sharing.
3. Agencies must comply with Section 8 of this document (relating to obtaining clients’ permission to have their information shared).

In regards to the coordination of data sharing, we are leaders in the field. Bitfocus partners with participating agencies and encourage them to sign Partner Agency Data Sharing Agreements, in order to allow for the coordination and management of shared service delivery. In Santa Clara County, ____% of participating agencies have agreed to sign and execute Partner Agency Data Sharing Agreements.

Bitfocus has dedicated an entire section of the HMIS application to Agency Sharing. In this section, System Administrators can fine-tune their sharing settings with the ability to create Agency Sharing default settings as well as create any agency exceptions. They have the ability to control whether data categories have ‘Not Shared’, ‘Basic Shared’, and ‘Full Sharing’ settings. And, as mentioned, Agency Exceptions can be created.

Access Roles

In order to further protect client data during referral processes, Clarity Human Services has a section devoted to Access Roles. System Administrators have the ability to create different Access Roles, each with different capabilities. For example, if volunteers come to the agency just to do data entry, System Administrators can create an access role that allows these volunteers to view and modify only data necessary to their purpose. Different Access Roles can be customized to end users at the individual level.

Intra- and Inter-Agency Restrictions

HIPAA requires entities sharing health data with each other to function within data-sharing protocols and agreements that support the basic principles of the HIPAA Privacy Rule. Clarity Human Services has sophisticated tools for assigning access rights to users. It is possible to define and create an unlimited number of Access Roles associated with varying levels of access down to every level, including the field level. Access Roles can also be defined on an agency basis. Each participating agency can define the data they wish to share with other organizations down to the field level. These cross-agency access rights can be adjusted on an agency-by-
agency basis [e.g. Agency A may share all of its client data with Agency B, selected data with Agency C, and no data with Agency D]

Automated Audit Trail

Clarity Human Services provides complete auditing records on all areas connected to user interaction. The audit trails are accessible by two methods:

1. Log Link – On every page, a Log Link is presented at the bottom right of the screen. When the System Administrator selects this link, any updates made to any of the data presented on the screen will appear. Items such as Old Values, New Values, date/time of the update, and the user who made the update are all presented in a simple format.

2. Database – The audit log is also provided through the relational database, allowing the System Administrator to access the data using a Query tool, or write reports to manage the updates in any way the System Administrator defines

Encryption Management

Encryption General

All information should be encrypted in the database per HUD standards. All connections to the Clarity database should be encrypted to HUD standards or higher. Encryption should be sufficient to prevent unauthorized personnel from accessing confidential information for any reason.

Encryption Management

In the event that system wide data decryption becomes necessary, the Working Group must obtain the written authorization of every participating agency’s executive director.
HMIS CONCEPTS & TERMS

Aggregate - Collected together from different sources and considered as a whole, and lacking identifying information.

Client - Somebody who uses or applies to use the services of a participating agency.

CoC – The acronym for Continuum of Care

Community - A group of people with a common background or with shared interests within a defined geographic area, for our area to include the State of Nevada.

Confidentiality - Entrusted with somebody’s personal or private information or matters.

Connectivity – The ability to connect two or more systems together. Pertaining to the HMIS system, the use of a high speed Internet connection for accessing the system.

Consent – Express acceptance of or agreement to something.

Data – The information in the system, for example, numbers, text, images, and sounds, in a form that is suitable for storage in or processing by a computer

Decryption – To render an encoded amount of data into plain language or out of its encrypted state.

Encryption – To convert computer data and messages to something incomprehensible by means of a key, so that only an authorized recipient holding the matching key can reconvert it.

Firewall – A component of a network that prevents unauthorized users and/or data from getting in or out of the network, using rules to specify acceptable communication

HMIS – The acronym for Homeless Management Information Systems, sometimes also referred to as HIMS or Homeless Information Management System.

HUD – The acronym for the Department of Housing and Urban Development.

Legacy Data – Information stored in an older version of software or format that is not compatible with the HMIS system.

Clarity Human Services– The name of the software application that being used for the Nevada HMIS.

Clarity System – The name that has been given to our implementation of an HMIS system.
MOU – The acronym for Memorandum of Understanding. A document that outlines the specific areas of agreement between two or more parties.

Organization - A group of people identified by shared interests or purpose.

PPI – The acronym for Protected Personal Information.

Program – A collection of services grouped together.

ROI – The acronym for Release of Information.

Service - The system or operation by which people are provided with something.

VPN – The acronym for Virtual Private Network. A way for securely connecting systems together to transmit data.
EXHIBIT I

HMIS Data Quality Plan

>>PLEASE SEE FOLLOWING PAGES<<
Information Security Department

HMIS DATA QUALITY PLAN

Purpose: The purposes of this HMIS Data Quality Plan are as follows:

- Identify the responsibilities of all parties within the CoC that affect data quality.
- Establish specific data quality benchmarks for timeliness, completeness, and accuracy.
- Describe the procedures that the HMIS Lead Agency will take to implement the plan and monitor progress to meet data quality benchmarks.
- Establish a timeframe for implementing the plan to monitor the quality of data on a regular basis.
- In accordance with the HMIS standards outlined by the U.S. Department of Housing and Urban Development, this Privacy plan will be reviewed and updated annually.
Introduction

Bitfocus Inc.

Bitfocus is a consultancy firm that provides the following HMIS Implementation services to the HMIS Lead Agency:

- HMIS Software and Server Administration
- Telephone Help Desk Support
- Ticket Support
- HMIS Implementation and Maintenance
- Remote Web Based and On-Site Training
- Remote Web Based and On-Site Technical Assistance
- Training Manual and Procedural Documentation
- Custom Report Writing
- Data Warehouse Development and Administration
- HMIS Working Group Meeting engagement
- Planning and Policy Making
- AHAR, APR, and QPR support

Bitfocus Inc. provides HMIS Administration services for:

- SANTA CLARA COUNTY CoC

The Clarity Human Services HMIS Application

The Clarity Human Services HMIS Application is a cloud-based system that offers a comprehensive and end-user adjustable HMIS solution to meet the multiple integration, implementation, and management requirements of the Santa Clara County Continuum of Care.

General Description of HMIS Information Sensitivity

Clarity Human Services HMIS application stores and protects confidential individually identifiable health information. As such, it is equipped with a series of administrative, physical, and technical safeguards for covered entities and their business associates to
use to assure the confidentiality, integrity, and availability of electronic protected health information.

Definition of Data Quality

Data Quality is defined as the reliability and validity of client-level data collected in the HMIS.

General Description of Information Sensitivity

Clarity Human Services HMIS application stores and protects confidential individually identifiable health information. As such it is equipped with a series of administrative, physical, and technical safeguards for covered entities and their business associates to use to assure the confidentiality, integrity, and availability of electronic protected health information.

Applicable Laws Or Regulations Affecting The System

HMIS Data Standards Revised Notice, U.S. Department of Housing and Urban Development, March 2010

In 2004, HUD published HMIS Data and Technical Standards in the Federal Register. These standards define the requirements for data collection, privacy safeguards, and security controls for all local HMIS. In March 2010, HUD published changes in the HMIS Data Standards Revised Notice incorporating additional data collection requirements for the Homelessness Prevention and Rapid Re-Housing Program (HPRP) funded under the American Recovery and Reinvestment Act (ARRA).

Bitfocus, Inc. implements a formal procedure to monitor the ongoing quality of the data entered into the HMIS. All HMIS operations remain in accordance with the most current HMIS Systems requirements as prescribed by HUD.

Data Quality Enforcement
Bitfocus enforces a Data Collection Commitment which states that participation in the HMIS requires that all participating agencies collect minimum data elements on all consenting clients in accordance with HUD requirements.

**Data Entry Timeliness**

Client information, including intake data, program entry dates, services provided, and program exit dates are entered into the HMIS within a reasonable period of time.

To reduce human error that occurs when too much time has elapsed between the data collection (or service transaction) and the data entry, Bitfocus requires participating agencies to specify a reasonable and effective period of time within which data must be entered after interview/intake. These timeframes are dependent upon agency and program type (i.e. Emergency Shelter, Transitional Housing, Permanent Housing, Safe Haven, Outreach, Prevention, HPRP, or any other programs in the CoC).

Bitfocus participating agencies have designated benchmarks for the following program types:

- Emergency Shelter programs: All Universal Data Elements entered within a specified period of days from intake.
- Transitional Housing: All Universal and Program-Specific Data Elements entered within a specified period of days from intake.
- Permanent Housing: All Universal and Program-Specific Data Elements entered within a specified period of days from intake.
- Outreach programs: Limited data elements entered within a specified period of days from the first outreach encounter. Upon engagement for services, all remaining Universal Data Elements entered within a specified period of days.
- HPRP and Prevention programs: All Universal and Program Specific Data Elements entered within a specified period of days from intake.

**Data Completeness & Accuracy**

All clients receiving services are entered into the HMIS, and all of the appropriate data elements are collected and entered into the HMIS.

All HMIS data accurately and consistently matches information recorded on paper intake forms and in client files, and HMIS data elements are collected in a consistent manner.

Clarity Human Services HMIS is specifically designed with data quality safeguard programming that requires 100% data completion for all clients entered, for each of the HUD data element sets, as well as bed utilization rates.
This 100% data completion facilitates confident reporting and analysis on the nature and extent of homelessness, such as:

- Unduplicated counts of clients served at the local level;
- Patterns of use of people entering and exiting the homeless assistance system
- Evaluation of the effectiveness of homeless systems

It is vital that CoCs have a HMIS that complies with current HUD required Universal and Program Specific Data Elements. CoCs must also be equipped with a HMIS that can adapt to any future amendments to HUD standards and requirements. This type of preparedness requires a HMIS with highly customizable screens and data fields that can be quickly and seamlessly adapted to meet fluctuating standards and requirements. The Clarity Human Services Screen Designer, Field Editor, and Automated Email Reports equip System Administrators with the capacity to meet and adapt to all HUD requirements and standards.

Clarity Human Services incorporates advanced Data Quality mechanisms. These mechanisms allow automated oversight and seamless ease to correct Data Quality discrepancies based on our Data Quality Model.

Our Data Quality model is built around the following features:

- **Drill-down Reports:** All reports included in our standard report library allow drill-down functionality. For example, when reviewing a report, such as the Annual Performance Report, the value of “Don’t Know” may be set to 30. By simply clicking on the number “30” a sub-report will be immediately displayed identifying the clients with incorrect data. The selected clients can be immediately corrected, the APR run again, and the Annual Performance Report will display the updated corrections.

- **Automated Email Reports:** On a weekly or monthly basis, Our “Emailed Reports” can be automatically sent in PDF form to a recipient list of primary contacts or program managers at each participating agency. These reports provide Data Quality scoring on the Universal Data Elements down to the user/staff level.

- **Screen Designer tool:** Our screen designer tool can be incorporated to ensure the fields you would like to make ‘Required’ or ‘Soft Required’ provide the user with the proper feedback to ensure completion.

In addition, each agency must develop a written program specific interview guide that includes the minimal data elements and any additional elements the agency wishes to collect.
Bed Utilization: Clarity Human Services provides a comprehensive report titled the “Housing Census” Report. This report offers three tiers of drill-down functionality. When the report is processed, the initial parameters request which housing programs to include and the date range of observance. Upon processing of the report, a census of clients is presented for each day of the report. The date itself can then be selected to launch the sub-report detailing all clients represented on that given day. Each client name can then be selected to access the third tier of drill-down, highlighting any poor data quality elements.

These processes are the same across transitional housing and permanent housing, and are also the same for individual beds and units.

Data Quality Monitoring

The Santa Clara County CoC recognizes that the data produced from the Clarity Human Services HMIS is critical to meet the reporting and compliance requirements of individual agencies and the CoC as a whole. As such, all HMIS agencies are expected to meet specified data quality benchmarks. To achieve this, reporting and user feedback is used to quickly identify and resolve issues that affect the timeliness, completeness, and accuracy of the data.

Data Quality Adherence: Incentives and Enforcement

The purpose of monitoring is to ensure that the agreed-upon data quality benchmarks are met to the greatest possible extent and that data quality issues are quickly identified and resolved. To ensure that service providers have continued access to the expectations set forth in the data quality plan, the following protocol will be used:

1. Access to the Data Quality Plan: The data quality plan will be available to the general public.
2. Access to Data Quality Reports: The HMIS Lead Agency will make data quality reports available for the purposes of facilitating compliance review by participating agencies and the CoC Data Committee.
3. Data Correction: Participating agencies will have a specified period of days to correct data. The HMIS Lead Agency will make revised data quality reports available to the general public.
4. Monthly Review: The CoC Data Committee will review participating agency data quality reports for compliance with the data quality benchmarks. The Committee will work with participating agencies to identify training needs to improve data quality.

5. Public Review: The HMIS Lead Agency will make agency aggregate data quality reports available to the general public.

6. CoC Review: The CoC Data Committee will provide a brief update on progress related to the data quality benchmarks at the regularly scheduled CoC meetings.

For agencies that fail to meet the data quality benchmarks, the CoC may ask the agency to submit a written plan that details how they will take corrective action. The plan will be submitted to, and monitored by, the CoC’s Data Quality Subcommittee. Should the problem persist, the Data Quality Subcommittee may make a recommendation to suspend the agency’s ability to enter data into the HMIS, and will contact any appropriate state and federal funders.
EXHIBIT J

HMIS Privacy Plan

>>PLEASE SEE FOLLOWING PAGES<<
Information Security Department

HMIS PRIVACY PLAN

Purpose: The purposes of this HMIS Privacy Plan are as follows:
• Provide an overview of the privacy requirements of the Clarity Human Services HMIS application, and describe the controls in place or planned for meeting those requirements; and
• Delineate responsibilities and expected behavior of all individuals who access the system.

In accordance with the HMIS standards outlined by the U.S. Department of Housing and Urban Development, this Privacy Plan is to be reviewed and updated annually.
Introduction

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Applicable Laws Or Regulations Affecting The System
The Health Insurance Portability and Accountability Act of 1996 (HIPAA)

HIPAA’s Privacy Rule states that “Individually Identifiable Health Information” is to be considered “protected health information” [PHI] subject to the review and control of individual patients. Agencies and other entities handling PHI are mandated to restrict access to such information to appropriate persons and protect the privacy of individuals. Clarity Human Services includes customization features at micro and macro levels to automate the enforcement of federal, state, and local privacy requirements such as HIPAA.

Clarity Human Services Security Tools enable each partner agency to define which client data is shared with other agencies at every level, including the field level. The default data sharing setup associated with each partner agency can be defined on an agency-by-agency basis (i.e., Agency A may share all client data with Agency B, nothing with Agency C, and only core ID data with Agency D). Our privacy settings can be adjusted to override the default privacy configuration of each agency upon the request of the client.

Bitfocus, Inc. can confirm the capacity of Clarity Human Services to both meet and surpass current HIPAA & HUD requirements and the pending updates to these requirements.

Participation Requirements

For most efficient utilization of the services provided by the Clarity HMIS, several steps must be completed at the agency level before implementation can begin. Although the Clarity System Administrator can assist with most steps, agencies should be prepared to act without assistance. These steps include:

- Acquisition of High Speed Internet Connectivity with at least one static IP address
- Identification of an on-site Technical Administrator to serve as the primary contact, or the name of an outside contractor.
- Completed network and security assessment to comply with HUD HMIS Data Standard Regulations (4.3 – Security Standards), as published in the July 30, 2004 Federal Register.
- Signed Memorandum of Understanding.

Written procedures concerning client consent for release of information, client grievance procedures and interview protocols

Client Rights and Control
With limited exception, HIPAA vests the control of personal data to patients [e.g. clients]. Each individual patient has the right to review personal data, and to determine who can see these data. Clarity Human Services provides multiple options, including bio-metric technologies, to confirm client identity and to provide options for patients to review their own data. Clarity Human Services also has a Client Forms tool that stores data-sharing consent agreements, and enables authorized users to make client-specific adjustments for overriding general data-sharing settings to meet the specific requests of individual clients.

Documentation of Compliance

While not specified in the statute, organizations dealing with PHI must have the capacity to effectively and efficiently document their compliance with HIPAA. Clarity Human Services has multiple tools and features for documenting HIPAA compliance. A built-in Transaction Log records every change to client data. In addition, there is also an Access Tracking Tool, which displays users who have viewed a client record and when they viewed it. Finally, our reporting tools provide pre-designed and ad-hoc reports for reviewing the access and use of client data.

Identity Access Management

Clarity Human Services provides three standard authentication methods to ensure secure authentication, and other identification and access management functions, including:

A. Basic Authentication – User must provide login and complex password credentials.
B. IP Whitelist – User or Agency must access the system through a pre-approved list of IP Addresses.
C. Personal PKI Certificate – User or Agency must have a valid PKI certificate installed within their Browser to access the system. The system administrator can fully administer each method of authentication.

General Operational Controls

Written Client Consent Procedure for Data Entry

Agencies must obtain the client’s consent prior to entering information concerning a client into the system. If a client does not consent, services should not be denied to the client. The agency can use the anonymous client function in appropriate cases.
Confidentiality and Consent Forms

Agencies must use the forms approved by the Clarity Working Group. Agencies that share protected health information must have internal procedures for obtaining client consent prior to the sharing of this information.

Privacy Notice

Agencies must develop a privacy notice, and incorporate the Clarity Privacy Notice into its policies and procedures. In addition, HUD mandates that organizations develop policies and procedures to distribute privacy notices to their employees, which include having employees sign to acknowledge receipt of the notices.

Background Check Procedures

Each agency is responsible for conducting its standard background check for all users of the Clarity System.

Staff Confidentiality Agreements

Each agency must develop a procedure for informing staff of client confidentiality. All users of the system must have training prior to being authorized to use the system. In addition, all users of the system are required to attend Clarity confidentiality and privacy training each year.

Information Security Protocols

Internal policies must be developed at each participating agency to establish a process for the detection and prevention of a violation of any HMIS information security protocols.

Virus Prevention, Detection, and Disinfection Protocols

Participation in the HMIS requires that agencies develop procedures intended to assure that computers with access to the HMIS system run updated anti-virus software.

Security Training
User, Administrator and Security Training: Clarity Human Services has provided training to instruct the Clarity System Administrator in the proper procedures to supervise and maintain the operation of the HMIS. System Administration training has covered security, configuration and user customization.

Participating Agency Technical Administrator / Security Officer Training

Each agency participating in the Clarity System will have a Technical Administrator / Security Officer who will be the contact person for participation in the HMIS. Each organization participating in the Clarity System will have a representative participate in the Participating Agency Technical Administrator Training Program prior to system deployment at that agency. Refer to section 2.8 HMIS Software Training for details regarding responsibilities and duties of the Technical Administrator / Security Officer.

Training will take place in Santa Clara County and participants are not to exceed fifteen persons per training. These trainings will cover practical problem solving. Each agency’s Technical Administrator will learn how to adjust eligibility screens, identify service data that must be migrated to the HMIS, and how to track expenses and customize the system for his or her organization. Each Participating Agency Technical Administrator will have access to a master manual for program management and will be responsible for either copying or purchasing a copy in house for use at his or her organization. Upon conclusion of the training and prior to deployment, Technical Administrators will begin inputting their HMIS information, number of beds (if any), services, and contact information into the system.

End User Training

Bitfocus will provide training in the day-to-day use of the Clarity System. Training class size will be limited. Training will use an established demo database, and will cover the following topics: intake, assessment, information and referral, reports, and client tracking. Training on any agency-modified fields/screens will be the responsibility of the agency making the modification. Training requires an eight to twelve hour commitment over the course of two days.

User, Location, Physical and Data Access

Access Privileges to the Clarity System
Access to system resources will only be granted to agency staff that needs access in order to perform their jobs.

**Access Levels for Clarity System Users**

Each user of the system will be assigned an account that grants access to the specific system resources that he or she requires. A model of least-privilege is used; no user will be granted more than the least amount of privilege needed to perform his or her job.

**Access to Data**

All data collected by the Clarity System project will be categorized. Access to data sets, types of data, and all other information housed as part of the system is governed by policies approved by the HMIS Working Group and Bitfocus. Reproduction, distribution, destruction of and access to the data are based on the content of the data. At no time may identifying confidential data be distributed or accessible without the consent of the client.

**Access to Client Paper Records**

Agency users should not have greater access to client information through the Clarity System than is available through the agency’s paper files.

**Physical Access Control**

All equipment or media containing HMIS data must be physically controlled at the central site. Protection and destruction of data policies are outlined below. The building containing the central server is secured through locked key access. The room housing the central server has keyed entry with access to keys limited to: Clarity System Administrator, his or her supervisor and the HMIS Project Manager. Access to the central server room is limited to authorized personnel under supervision of the Clarity System Administrator or HMIS Project Manager. All guests will be required to sign in prior to entry. The sign in sheet will be stored and can be produced upon request. All media containing HMIS data will be stored in a fire-protected safe. When necessary, archived media will be destroyed through reformatting and destruction. All hard drive media, optical media and magnetic floppy media taken out of service will be disassembled and the platters physically destroyed.
System access over wired networks

Access to the HMIS system over any type of wireless network is discouraged. Wireless networks are more susceptible to unauthorized access than wired networks. If any type of wireless network is used, it must have at least 128-bit encryption. If 128-bit encryption is not available, each client workstation must have VPN client software installed.

Unique User ID and Password

Each user of the system must be individually and uniquely identified. Identification will be verified through a password. Users are not permitted to share their password or permit other users to log in to the system with their password. Passwords will be at least eight characters long and meet reasonable industry standard requirements. These requirements are:

3. Using a combination of at least 3 of the following:
   - Numbers
   - Lowercase letters
   - Capital letters
   - Special characters (e.g. ~ ! @ # $ % ^ & * ( ) _)

4. Not using, or including, the username, the HMIS name, or the HMIS vendor's name

5. Not consisting entirely of any word found in the common dictionary or any of the above spelled backwards

Written information specifically pertaining to user access (e.g., username and password) may not be stored or displayed in any publicly accessible location. Individual users will not be able to log on to more than one workstation at a time, or be able to log on to the network at more than one location at a time.

Right to Deny User and Participating Agencies' Access

The Working Group has the right to suspend, limit or revoke the access of any agency or individual for violation of HMIS policies. Upon remedy of said violation, access rights may be reinstated. If privileges have not been reinstated, the person or agency can file an appeal to the HMIS Working Group for reinstatement.

Monitoring
Access to the system will be monitored. In addition, the Clarity System will maintain logs of all actions taken within the system including login transactions and detailed monitoring of user data transactions within the software. Bitfocus will use its best reasonable efforts to review logs on a regular basis. It is understood that agencies will cooperate with all monitoring requirements. All exceptions that show security policy violations will be investigated.

Data Integrity Controls

Access to the production data is restricted to essential system administrative staff only. Each staff that has access to production data is contracted to not alter or impact the data in any adverse way.

Data Release Protocols

Data Entry

Before any data will be entered into the system, the client must first consent to data entry and agree to what information can be entered into the Clarity System. Upon completion of the approved consent form, the service provider will only enter the information into the system that has been approved by the client. The Clarity System will assign the client a unique personal identifier. Service providers should note that services must not be contingent on a client consenting to data entry.

Anonymous Client Data Entry

In the event that a client does not want to have any of their information entered into HMIS, they will be entered as a “John/Jane Doe” and all of the information entered into the system fields will be zeros. The HMIS will assign them a unique personal identifier.

Sharing of Information

Clients must consent to the sharing of their information prior to allowing that information to be shared with participating agencies. In the event that the client agrees to have their information entered into the HMIS but does not agree to have it shared with other agencies, selecting the “Local Only” option available in the Clarity System will close the entire record.
Sharing of Protected Information

A separate Release of Information (ROI) indicating what information the client agrees to have shared with other participating agencies should be signed prior to sharing of any Protected Personal Information (PPI).

Printed Information

Printed records disclosed to the client or another party should indicate: the person and/or agency to whom the record is directed, the date, and the initials of the person making the disclosure.

Requests for HMIS Client Information

The agency must notify the HMIS Program Administrator within one working day when the agency receives a request from any individual or outside organization for client-identifying information.

Case Notes

It is understood that client case notes will not be shared, and that each agency will have the ability to enter its own private notes about a client.

The Release of Information (ROI) form will be a dated document that expires. The provider will only be able to access the information specified on the ROI that was entered into the system during the time the ROI was in effect. Also, the client can decide at any time that he or she wants to have their information closed, in full or in part, and/or client file deactivated.

Internal Operating Procedure

Computer Virus Prevention, Detection, and Disinfection

The Clarity System will be to incorporate and maintain updated virus protection from a reputable single source. Any and all viruses found will be quarantined and analyzed. If unrepairable, the virus will be deleted. Participating agencies are required to run and maintain their own anti-virus software from an approved source on all computers that have access to the HMIS system.
Operating System Updates

The HMIS system will be updated and patched within a reasonable time after review of the vendor’s release of updates and patches and approval by the system administrator.

Backup and Recovery

Backup will occur on a regular basis. Backup media will be stored in a fire-protected safe with the server. In addition, backups will be stored electronically, offsite. A backup of hardware and Clarity System software will be stored in an offsite location so that it will be available in the event of catastrophic failure.

Disaster Recovery Process

Disaster recovery processes will be reviewed as prescribed by HUD, and offsite and offsite systems will be checked for viability twice per year.

Community Reporting Process

At the direction of the Working Group, Bitfocus will publish community-wide aggregate reports on the clients in the HMIS system on a periodic basis. These report(s) will reflect raw, point-in-time data.

Termination of the HMIS system

In the event the Clarity HMIS ceases to exist, participating agencies will be notified and provided a reasonable time to access and save client data on those served by the respective agencies as well as statistical and frequency data from the entire system. Then, the information on the central server will be purged or stored. If the latter occurs, the data will remain in an encrypted and aggregate state.

Termination of Bitfocus as Program Administrator

In the event Bitfocus is no longer the program administrator, custodianship of the data on the HMIS system will be transferred to the HMIS Working Group or to a successor...
program administrator, and all participating agencies will be informed in a timely manner.

**REPLACE - HMIS Privacy Notice**

An individual has a right to adequate notice of the uses and disclosures of protected personal information that may be made by a participating agency and of the individual’s rights and the participating agency’s legal duties with respect to protected personal information. The notice should be prominently displayed in the program offices where intake occurs. The participating agency should promptly revise and redistribute its notice whenever there is a material substantive change to the permitted uses or disclosures, the individual’s rights, the Participating Agency’s legal duties, or other privacy practices stated in the notice. Participating agencies should maintain documentation of compliance with the notice requirements by retaining copies of the notices issued by them. A client has the right to obtain a paper copy of the notice from the participating agency upon request. An inmate does not have a right to notice, and the requirements of this notice do not apply to a correctional institution that is a Clarity System user.

**Content of Notice:**

The Participating Agency must provide a notice that is written in plain language and that contains the elements required by this section. These elements are not exclusive, and either oral or written notice may inform the individual of the permitted uses of information. The following statement as a header or otherwise must be prominently displayed: “THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.”

A description of each of the purposes for which a participating agency is permitted or required by this notice to use or disclose protected personal information without the individual’s written consent or authorization. These include administrative, programmatic, and academic research purposes.

If a use or disclosure is prohibited or materially limited by other applicable law, the description of such use or disclosure must reflect the more stringent law.

A statement that consensual uses and disclosures will be made only with the individual’s written authorization and that the individual may revoke such authorization.

A statement of the individual’s rights with respect to protected personal information and a brief description of how the individual may exercise these rights.
A statement that the participating agency is required by law to maintain the privacy of protected personal information and to provide individuals with notice of its legal duties and privacy practices with respect to protected personal information.

A statement that the participating agency is required to comply with the terms of the notice currently in effect.

A statement that reserves the right to change the terms of the notice and to make the new notice provisions effective for all protected personal information. The statement must also describe how the agency will attempt to provide individuals with a revised notice.

A statement that individuals may complain to the participating agency if they believe their privacy rights have been violated.

A brief description of how the individual may file a complaint with the participating agency.

A statement that the individual will not be retaliated against for filing a complaint.

The name, or title, and telephone number of a person or office to contact for further information.

The date on which the notice is first in effect, which may not be earlier than the date on which the notice is printed or otherwise published

Guidelines on Removing Agencies or Users

Voluntary Removal

If an agency or user no longer wants to access the Clarity System, they simply need to contact Bitfocus and inform them of the decision. In the case of user removal, it is the relevant agency’s responsibility to contact Bitfocus in a timely fashion so the User ID can be deactivated to prevent unauthorized access to the system. An agency asking to be removed from the system understands the following:
1. The agency will receive one (1) copy of the data it has input into the Clarity System. This copy will be in a format determined by Bitfocus and approved by the Working Group. The agency will be given an appropriate description of the data format.

2. The data the agency enters into the system will remain in the system for the purposes of producing aggregate non-identifying reports. Client records will be marked as inactive, and not be available to be accessed. Any agency information will remain in the system, but will be marked as inactive.

3. The agency must return all hardware (firewalls, etc.) that are owned by Bitfocus.

4. Any fees paid for participation in the Clarity HMIS system will not be refunded.

5. The agency understands and accepts any ramifications for not participating in the Clarity System.

Involuntary Removal

It is vital for the Working Group and Bitfocus to provide a secure service for all users. Any action(s) that threaten the integrity of the system will not be tolerated.

1. Bitfocus reserves the right to modify, limit and/or suspend any user account at any time if there is a security risk to the system.

2. Any improper use of the Clarity System is subject to immediate suspension of the user’s account. The penalties imposed on a user for improper system use will vary based on the level of the offense. Typically the user will receive a warning on the first offense. However, if the offense is severe enough, Bitfocus reserves the right to disable the account immediately and in extreme cases, may disable all users’ access by the agency in question.

3. Bitfocus will contact the organization within one business day of any suspension.

4. If a user’s account is suspended, only the director (or acting director) for an organization may request account re-activation. Suspended users may be required to attend additional training before having their access reinstated.

5. In the event that an agency is removed from the system they must submit a written request for reinstatement to the Working Group and Bitfocus. If an agency is not reinstated into the system after review, the agency will be given one (1) copy of its data in a format that will be determined by Bitfocus and approved by the Working Group (the agency will also be provided with a description of the data format). Data will not be given to the agency until all hardware (firewalls, etc.) belonging to Bitfocus is returned. Any fees paid for participation in the Clarity System will not be returned.

6. All Clarity System users agree to waive and release any and all claims and expenses related to or arising from the user’s violation of this agreement against the Working Group, the employers of the respective members of the Working Group, Bitfocus, its officers, directors, shareholders, employees, agents, subsidiaries and affiliates.
Participation Security Standards

System/Data Security

In the event an agency becomes aware of a system security or client confidentiality breach, the executive director of the agency shall notify the HMIS Program Administrator of the breach within one business day.

HMIS Related Forms and Printed Material

Any HMIS forms or printed information obtained by an agency or user from the HMIS system must be destroyed in a manner that ensures client confidentiality will not be compromised.
ATTACHMENT:  HMIS POLICIES & PROCEDURES MANUAL

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Santa Clara County Continuum of Care HMIS Governance Agreement

Produced by Bitfocus, Inc., HomeBase, and the County of Santa Clara

Last Updated: November 2015
Executive Summary

HMIS Overview

The United States Department of Housing and Urban Development (HUD) defines the Homeless Management Information System (HMIS) as the information system designated by the Continuum of Care (CoC) to comply with HUD’s data collection, management, and reporting standards. The HMIS collects data to measure the efficacy of services provided to homeless persons and those persons at risk of homelessness. It is intended to generate unduplicated counts of homeless persons, as well as explore the nature of homelessness in general. The data collected by the HMIS is used to drive evidence-based decisions at the local, state, and national level, with the ultimate goal of eradicating homelessness in the United States.

This document outlines the Santa Clara County HMIS governance structure, and provides the policies, procedures, guidelines, and standards that govern Santa Clara County HMIS operations, while dictating the roles and responsibilities of all parties involved.

Santa Clara County HMIS Governance Agreement

This Santa Clara County HMIS Governance Agreement aims to provide structure for decision-making, as well as formalize the roles and responsibilities of all HMIS entities. It defines the relationship between the HMIS implementation, the Santa Clara County Continuum of Care, and its participating providers, and it establishes oversight and leadership expectations surrounding the HMIS.

Santa Clara County HMIS Governance Model

The Santa Clara County HMIS governance model is that of an HMIS Working Group. This HMIS Working Group is comprised of the following:

- CoC representatives
- HMIS Lead Agency Staff
- Local Jurisdictional Representatives
- Participating Agency Staff and Consumers

However, the Santa Clara County Continuum of Care and its representatives are collectively responsible for all final decisions regarding the planning of policies and procedures, the coordination of resources, data integration, and determination of software applications. The Santa Clara County Continuum of Care and its representatives Dare also responsible for directing the HMIS Lead Agency.
Designations

The main entities included in this HMIS Governance Agreement are as follows:

**Santa Clara County Continuum of Care (CoC)**

The entity is composed of representatives of relevant organizations in Santa Clara County, which generally includes nonprofit homeless providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, organizations that serve homeless and formerly homeless veterans, and homeless and formerly homeless persons, and that are organized to plan for and provide, as necessary: a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies to address the various needs of homeless persons and those persons at risk of homelessness in Santa Clara County.

**HMIS Program Administrator (Bitfocus, Inc.)**

This is the entity designated by the Santa Clara County CoC to oversee the day-to-day administration of the HMIS system.

**HMIS Lead Agency (Santa Clara County Office of Supportive Housing)**

The duties of the HMIS Lead are as follows:

- Ensure all recipients of funds from the Emergency Solutions Grants Program (ESG) and programs authorized by Title IV of the McKinney-Vento Act participate in HMIS;
- Develop written policies and procedures for all Covered Homeless Organizations (CHOs);
- Execute an HMIS participation agreement with each CHO;
- Serve as the applicant to HUD for any HMIS grants that will cover the CoC geographic area;
- Monitor compliance by all CHOsa with the CoC; and
• Submit a Security Plan, Data Plan, Data Quality Plan, and Privacy Plan to the CoC for approval within six months of the finalization stage of the HMIS Requirements Proposed Rule. These documents must be reviewed and updated annually. Implementation of the policies outlined in the plans must be implemented within six months of the date of CoC approval of the plans.

Note: The HMIS Lead is the only organization with the authority of the CoC to make system-wide decisions regarding the HMIS. Its decisions will impact all CHOIs within the CoC.

HMIS Working Group

This is a group of entities that provide recommendations on use of software and software enhancement.

At least one homeless person or formerly homeless person must participate in policymaking. Participation can include, but is not limited to, the following entities (as defined by HUD): governing board leadership, advisory committees, staff positions, and sub-committee positions.

HMIS Software Application

The CoC has designated Clarity Human Services, a division of Bitfocus, Inc., to serve as its HMIS software. Clarity Human Services software is a product of Silver Spur Systems, LLC, and will hereafter be referred to as the Clarity System.

Participating Agencies

Participating Agencies include any agency that makes reasonable efforts to record all HUD-defined Universal Data Elements and all other required data elements as outlined by HUD funding requirements on all clients served, and discloses these data elements to the HMIS Lead Agency.

Any agency providing homeless services and wishing to participate in HMIS will complete and submit an HMIS participation application. This application is reviewed by the HMIS Lead for approval. In the event that there is a question regarding the need to participate, the application is taken to the HMIS Working Group for approval or denial.
The HMIS Working Group has given the HMIS Lead authorization to approve applications to use HMIS if the HMIS Lead is confident that the applying agency is serving the homeless population.

**HMIS Grantee**

This is the entity responsible for soliciting, collecting, and analyzing feedback from end users, program managers, agency executive directors, and homeless persons.

**HMIS Funding**

HMIS Leads and CHO’s must refer to program regulations to determine how funds are made available. Program regulations for the HUD McKinney-Vento Act programs can be found in the regulations of Chapter V of Title 24 of the Code of Federal Regulations. These regulations explain how funds are made available, and the requirements attached to those funds.

McKinney-Vento Act funding recipients and sub-recipients must participate in the Clarity System. Only homeless service providers receiving CoC and ESG funding can access HMIS funding.
Statutory Authority

The implementation of the McKinney-Vento Act in 1987 created valuable programs aimed at assisting homeless persons or persons at risk for homelessness to regain independence and stability.\[1\] However, despite its promising beginnings, the McKinney-Vento Act, and the programs it fostered, operated without measurement of efficacy for over 15 years; no government entity conducted a comprehensive performance review. Therefore, in 2001, Congress enlisted HUD to enforce the requirement that every jurisdiction present to Congress unduplicated client-level data within three years.\[2\]

HUD formulated a strategic plan to test the efficacy of the McKinney-Vento Act while also improving data collection, reporting, and analysis at the local and national levels.\[2\] Its strategy consisted of four approaches:\[5\]

1. It established funding for the implementation and maintenance of HMIS.
2. It created a technical assistance program to assist jurisdictions in their data collection, analysis, and reporting efforts.
3. It initiated the development of the nationwide Annual Homeless Assessment Report (AHAR) as means to present to Congress collective homeless data from individual jurisdictions nationwide.
4. It began to analyze the most viable approaches to obtaining homeless client-level reporting.

This plan amplified competition among CoCs as they strived to obtain homeless assistance funding. As the importance of HMIS applications increased, so did their complexity and sophistication.

CoCs became increasingly aware of the data collection and reporting requirements imposed by Congress, and in 2004, HUD submitted its Third Progress Report to Congress.\[3\] As a result, Congress and HUD implemented the first HMIS Data and Technical Standards Final Notice. The Final Notice made the implementation and maintenance of HMIS mandatory to obtain federal funding for homeless relief efforts.\[4\] In 2010, the HMIS requirements were further modified\[5\]. Currently, CoCs are awaiting the implementation of the upcoming HMIS Requirements proposed rule.\[6\]

Collectively, these provisions set forth statutory requirements for this Governance Agreement, which aims to organize the accurate collection and reporting of comprehensive data regarding the characteristics and needs of homeless persons and those at risk of homelessness.
Policies & Procedures

The following policies and procedures are primarily derived from the 2004 HMIS Data and Technical Standards: Final Notice, and the 2010 HMIS Data Standards: Revised Notice.

Note that this Governance Agreement will be updated upon the finalization of the HMIS proposed rule.

This section is comprised of six (6) sections:
1. Planning & Software Selection
2. HMIS Management & Operations: Governance & Management
3. HMIS Management & Operations: Compliance Monitoring
4. HMIS Management & Operations: Data Quality
5. HMIS Development & Oversight
6. Other Federal Requirements

1. Planning & Software Selection

The following policies and procedures are derived from the most recent HUD HMIS Requirements.

1.1 HMIS Planning & Strategic Activities

Development of activities related to HMIS growth. These activities will be reviewed regularly, and remain in accordance with the CoC’s goals.

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1.2 HMIS Program Milestones Development

Identification of general milestones for project management, including training, expanded system functionality, etc.

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1.3 Universal Data Elements

HMIS must be equipped to manage the collection of each data variable and corresponding response categories for the Universal Date Elements as outlined in the 2010 HMIS Data and Technical Standards. Please see Exhibit A for a list of the Universal Data Elements.

Although HUD strives to ensure that the HMIS remains “a system of accuracy, integrity, and confidentiality,” it is aware that excessively stringent technical, security, and data standards may limit the ability of CoCs to adapt to beneficial changes in technology. Therefore, the standards listed in the following section are broad in nature. HUD states that it will provide specific details applicable to each area in a separate notice and public comment process, thus enabling it to be more responsive to changes in technology.

Proposed Requirements:
- HMIS must be capable of unduplicating client records, must contain fields that collect all HUD-required data elements, and must maintain historical data.
- HMIS must generate Standard HUD Reports, Data Quality Reports, and Audit Reports.

1.4 Program-Specific Data Elements

HMIS manages the collection of each data variable and corresponding response categories for the Program-Specific Data Elements as outlined in the 2010 HMIS Data and Technical Standards.
1.5 Unduplicated Client Records

HMIS generates a summary report of the number of unduplicated client records that have been entered into the HMIS.

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1.6 APR Reporting

HMIS is consistently able to produce a reliable Annual Performance Report (APR).

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1.7 AHAR Participation

Participation in the AHAR (Annual Homeless Assessment Report) is ensured.

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1.8 HMIS Reports

HMIS generates clients-served reports, utilization summary reports, and demographic reports at both the system and program levels for the purpose of understanding the nature and extent of homelessness.

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2. HMIS Management & Operations: Governance & Management

2.1 HMIS Governance Structure

This involves development of an HMIS governance model that is formally documented between the HMIS Lead Agency and the community planning body or bodies. This document is to be a formal Governance Agreement that outlines management processes, responsibilities, decision-making structures, and oversight of the HMIS. Adherence to the Governance Agreement is to be regularly monitored.

HMIS Governance Standards:

- HMIS Lead is responsible for development of local HMIS policies and procedures.
- HMIS Lead and CHO are responsible for ensuring that HMIS processing capabilities coincide with the privacy obligations of the CHO.
- HMIS Lead must conduct annually (at minimum) an unduplicated count of clients served and an analysis of unduplicated amounts. This information is to be presented to the CoC and when requested by HUD.
- HMIS Lead must submit reports to HUD as required.
- CHO must comply with applicable standards from HMIS Requirements proposed rule.
- CHO must comply with federal, state, and local privacy laws. If a privacy or security standard conflicts with other federal, state, and local laws, the CHO and HMIS Lead are jointly responsible for updating the policies and procedures.
- HMIS Lead must develop a privacy policy.
- HMIS Lead must ensure HMIS vendor acts in accordance with HMIS standards issued by HUD.

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2.2 HMIS Oversight Inclusive Participation

Membership of the HMIS Working Group or advisory board is inclusive of decision-makers representing the Santa Clara CoC and community.
2.3 HMIS IT Issue Monitoring (Community Level)

HMIS System service requests, activities, deliverables and resolutions are reviewed on a regular basis. When necessary, authoritative support is provided to expedite IT issue resolution.

2.4 HMIS Technical Support

Technical expertise that is commensurate with general HMIS program oversight is provided in addition to timely support on high-level technical matters. All necessary HMIS software changes in response to the changing requirements of participating agencies are reviewed and authorized. All general special issues presented by participating agencies are reviewed and authorized.

2.5 HMIS Software Technical Support

Technical expertise commensurate with the requirements of the HMIS software and/or system is provided; Timely support on software technical matters is provided; authorized changes to the HMIS software and processes are implemented; resolutions to any special issues authorized by the HMIS Technical Support Entity within the software or overall system are implemented.
2.6 HMIS IT Issue Tracking

An updated list of HMIS system service requests, activities, deliverables, and resolutions is maintained on a regular basis.

2.7 HMIS Staff Organization Chart

A current and accurate organization chart that clearly identifies all team members, their roles and responsibilities, and general work activities and functions is maintained on a regular basis. This organization chart is made available for review.

2.8 HMIS Software Training

Regular training on software usage, software and data security, and data entry techniques to participating agencies is provided. The development, updating, and dissemination of data entry tools and training materials occur on a regular basis. The system is monitored and ensured on a regular basis.

User, Administrator And Security Training: Clarity Human Services will provide training to instruct the Program Administrator in the proper procedures required to supervise and maintain the operation of the HMIS. Program Administration training will cover security, configuration, and user customization.

Participating Agency Technical Administrator / Security Officer Training: Each agency participating in the Clarity System will designate a Technical Administrator / Security...
Officer who will serve as the contact person for participation in the HMIS. This person shall review and assess the security measures in place to protect client data.

Other responsibilities of this position include, but are not limited to, the following:
- Authorizing Agent For Partner Agency End User Agreements
- Keeper Of Partner Agency End User Agreements
- Keeper Of Executed Client Consent and Release of Information forms
- Authorizing Agent For User ID Requests
- Staff Workstations
- Internet Connectivity
- End User Adherence To Workstation Security Policies
- Detecting And Responding To Violations Of The Policies And Procedures
- First Level End User Support
- Maintain Agency/Program Data In HMIS Application
- Authorized Imports Of Client Data

Each organization participating in the Santa Clara County Clarity System will have a representative participate in the Participating Agency Technical Administrator / Security Officer Training Program prior to system deployment at that agency. Training will take place in Santa Clara County, and participants are not to exceed fifteen persons per training. These trainings will cover practical problem solving. Each agency’s Technical Administrator / Security Officer will learn how to adjust eligibility screens, identify service data that must be migrated to the HMIS, and track expenses and customize the system for their organization.

Each Participating Agency Technical Administrator / Security Officer will have access to a master manual for program management and will be responsible for either copying or purchasing a copy for use at their organization. Upon conclusion of the training and prior to deployment, Technical Administrators / Security Officers will begin inputting their HMIS information, number of beds (if any), services, and contact information into the Clarity System.

End User Training Schedule: Bitfocus, Inc. will provide training in the day-to-day use of the Clarity System. Training class size will be limited. Training will use an established demo database, and will cover the following topics: intake, assessment, information and referral, reports, and client tracking. Training on any agency-modified fields/screens will be the responsibility of the associated agency making the modification. Training requires an eight to twelve hour commitment over the course of two days.

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2.9 System Operation & Maintenance

Operation and maintenance of the HMIS System is conducted on a daily basis.

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2.10 HMIS User Feedback

Mechanisms for soliciting, collecting, and analyzing feedback from end users, program managers, agency executive directors, and homeless persons are managed and maintained. Feedback includes impressions of operational milestones and progress, system functionality, and general HMIS operations. Examples of feedback include satisfaction surveys, questionnaires, and focus groups.

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3. HMIS Management & Operations: Compliance Monitoring

3.1 HMIS Management Issues

HMIS is managed in accordance to the policies, protocols, and goals of each of the Santa Clara County CoC.

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3.2 HMIS Program Milestones Monitoring

Milestones, notes variances, and reports variances to CoC membership is monitored.

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3.3 Agency and Program HMIS Participation

Program- and agency-level participation in HMIS is monitored on a regular basis via the comparison of point-in-time census of beds/slots to clients served. Agencies report all findings to the Santa Clara County CoC.

All monitoring activity is documented. Acceptable documentation methods can include but are not limited to the following reports: DQXX-103 Monthly Staff Report; Monthly Agency Utilization Report; HSNG-102 CoC Housing Assessment Report; HSNG-103 Housing Inventory Report; Monthly Housing Report (both CoC- and Agency-based); Weekly Housing Census; Performance Monitoring Report(s).

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3.4 Data and System Security

Agency staff are instructed and required to adhere with the HMIS data and system security protocols as outlined by their corresponding CoC and the most current HUD HMIS Data and Technical Standards.

HMIS Security Standards:

- HMIS Lead must establish a security plan that is approved by the CoC.
- HMIS Lead must designate a Security Officer.
- HMIS Lead must conduct workforce security screening.
- HMIS Lead must report security incidents.
- HMIS Lead must establish a disaster recovery plan.
- HMIS Lead must conduct an annual service review.
- HMIS Lead must ensure that each CHO designates a Security Officer and conducts workforce security measures.
- HMIS Lead must ensure that each user completes security training (at the minimum annually).
- HMIS Lead must ensure that each CHO conducts an annual security review.

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### 3.5 Client Consent

Client consent is obtained and documented according to the policies and procedures of the Santa Clara County CoC.

**Partner Agency Data Sharing Agreements:** Agencies that will be sharing client-specific records must agree in writing to uphold specified minimum standards of privacy protection.

**Written Client Consent Procedure For Data Entry:** Agencies must obtain the client’s consent prior to entering information concerning a client into the system. If a client does not consent, services should not be denied to the client. The agency can use the anonymous client function in appropriate cases.

**Confidentiality And Consent Forms:** Agencies must use the forms approved by the HMIS Working Group. Agencies that share protected health information must have internal procedures for obtaining client consent prior to the sharing of this information.

**Privacy Statement:** Agencies must develop a privacy notice or statement, and incorporate the Privacy Statement into their policies and procedures. In addition, HUD mandates that organizations develop policies and procedures to distribute privacy notices or statements to their employees, which include having employees sign to acknowledge receipt of the notices or statements.

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4. HMIS Management & Operations: Data Quality

4.1 Data Quality Standards

Community-level data quality plan and standards are developed and enforced. A standard interview protocol that facilitates the collection of required data elements is developed. These standard interview protocols include standardized intake as well as standardization of all subsequent interviews.

Data Quality Standards:

- HMIS Lead must set data quality benchmarks for CHO separately for lodging and non-lodging projects.
- Minimum Bed Coverage Rates: Measures the level of lodging project providers’ participation in HMIS. Must be calculated separately for emergency shelter, safe haven, transitional housing, and permanent housing.
- Divide the number of HMIS participating by the total number of year-round beds in the CoC geographic area.
- Service-Volume Coverage Rates: Service-Volume coverage rate will all calculation of the coverage rate for a HUD-defined category of projects that do not offer overnight accommodations, such as homelessness prevention projects or street outreach projects. Must be calculated for each comparable database.
- Divide the number of persons served annually by the projects that participate in the HMIS by the number of persons served annually by all CoC projects within the HUD-defined category.
- All HMIS Leads must develop and implement a Data Quality Plan. HMIS must be able to generate reports monitoring data quality.

HMIS Leads and CHOs must refer to applicable program regulations in regards to the length of time records are to be maintained and monitored. While the HMIS Lead is permitted to archive the data in HMIS, they must follow HUD archiving data standards.

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4.2 Universal Data Elements
Data quality reports are regularly reviewed at community planning level. These data quality reports generate information that covers data entry completion, consistency with program model, and timeliness as compared to the community data quality standards. All standardized interview protocol adhere to the requirements outlined in Exhibit A (Universal Data Elements).

The Universal Data Elements outlined in Exhibit A will be collected or verified per HUD procedure at initial intake and any subsequent program enrollment, and then entered into the HMIS within a specified period of time following the collection of the data.

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### 4.3 Program Specific Data Elements

The collection of each data variable and corresponding response categories specific to their program type on all clients served by McKinney-Vento funding is ensured. All standardized interview protocol prescribed by HUD is followed.

The Program-Specific Data Elements are collected or verified per HUD procedure at initial intake and any subsequent program enrollment, and then entered into the HMIS within a specified period of days from the collection of the data.

Reporting agencies are required to report program entry and exit dates upon the entry or exit of program participants. Entry dates should record the first day of service or program entry with a new program entry date for each period/episode of service. Exit dates should record the last day of residence in a program’s housing before the participant leaves the shelter or the last day a service was provided.

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### 4.4 Data Quality Reports – Technical Assistance

Data quality reports that indicate levels of data entry completion, consistency with program model, and timeliness as compared to the community data quality standards are disseminated to participating programs. Technical assistance and training needs are determined according to these reports.
4.5 Data Quality Reports to Planning Entity

Data quality reports that indicate cross program levels of data entry completion, consistency with program model, and timeliness as compared to the community data quality standards are disseminated to the community planning entity on a regular basis.

4.6 Meta Data Elements

Meta Data Elements are defined as elements of information that describes an item; they are not the item itself. Meta Data Elements do not actually appear on the screen, but instead describe the data fields that do appear on the screen. Thus, Meta Data Elements are an integral and automated component of the data collection process. Examples of Meta Data Elements include:

- Data Created
- Data Updated
- Data Collection Stage
- Information Update
- Project Identifier
- Project Entry Identifier
- User

Requirements: Each data variable and corresponding response categories specific to their program type on all clients served by McKinney-Vento funding are collected through proper data collection. All standardized interview protocol adheres to the most current HMIS requirements. Therefore, the Meta Data Elements are collected and/or verified per HUD procedure at initial intake and any subsequent program enrollment, and entered into the HMIS within a specified period of time following the collection of the data.
5. HMIS Policy Development & Oversight

5.1 Community Planning Goals & Objectives Training

The progress of the Community Planning Goals and Objectives trainings and reviews are monitored on a regular basis.

5.2 Participation Rates

HMIS coverage rates of the Santa Clara County CoC are reviewed and monitored on a regular basis. Agencies with coverage rates lower than 75% participation are required to provide explanation for the barriers to implementation. Ongoing engagement activities and barrier resolution with non-participating agencies is required.

5.3 Client Confidentiality & Privacy Training

Trainings on client confidentiality and privacy requirements are provided to intake staff, data entry staff, and reporting staff at all participating agencies on a regular basis. All agencies have sufficient privacy policies and protocols in place.
5.4 Performance Measurement Training

Regular training and guidance on program performance measurement is provided.

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5.5 Participating Agency Documentation

The number of participating agencies (utilizing the system) is maintained and documented on a regular basis. A comparative analysis of planned versus actual deployments at the project level is highly desired but not compulsory.

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5.6 Participation Rates

Regular reports on HMIS participation rates are provided to the Santa Clara County CoC. An analysis of agency-specific barriers with potential solutions is highly desired but not compulsory.

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5.7 Standard Operating Procedures

HMIS Standard Operating Procedures are fully documented and available.

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5.8 Partner Agency Privacy Agreement and MOU

Written agreements that describe the protocols for participation in the HMIS are established with participating agencies.

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5.9 Partner Agency Data Sharing Agreements

Written agreements with participating agencies which share client-level data are maintained. These agreements describe the level of data element or program information sharing among the data sharing HMIS agencies.

Sharing Of Information: Clients must consent to the sharing of their information prior to that information being shared with participating agencies. In the event that the client agrees to have their information entered into the HMIS, but does not agree to have it shared with other agencies, the user can make the client record anonymous by using the ‘Private Option’.

Sharing Protected Information: A separate Client Consent to Data Collection and Release of Information indicating what information the client agrees to have shared with other participating agencies must be signed prior to sharing of any Protected Personal Information (PPI).

Printed Information: Any printed records that are disclosed to the client or another party should indicate: the person or agency to whom the record is directed, the date, and the initials of the person making the disclosure.

Requests For HMIS Client Information: The agency must notify the HMIS Program Administrator within one working day when the agency receives a request from any individual or outside organization for client-identifying information.

Case Notes: It is understood that client case notes will not be shared, and that each agency will have the ability to enter its own private notes about a client.

The Client Consent to Data Collection and Release of Information form will be a dated document that expires. The provider will only be able to access the information specified on the ROI that was entered into the system during the time the ROI was in effect. Also,
the client can decide at any time that they want to have their information closed, in full or in part, and/or client file deactivated.

### 5.10 HMIS End User Agreement

A written agreement with each authorized user of the HMIS is maintained. This agreement defines participation protocols, including training criteria, consent protocols, system use, and privacy and security standards.

### 5.11 Data Release

The CoC geographic area of the HMIS grantee maintains a defined and documented HMIS data release protocol that governs release of all data from the HMIS.

### 5.12 Program Training & Orientation

All required participants pertaining to HMIS standards receive training and orientation on regulations regarding McKinney-Vento funding.
5.13 Client Consent to Data Collection and Release of Information

The CoC geographic area of the HMIS grantee has a defined and documented client consent protocol to be used as a baseline practice among all participating HMIS users.

<table>
<thead>
<tr>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>CoCs</td>
</tr>
</tbody>
</table>

5.14 Data Release.

The CoC geographic area of the HMIS grantee has a defined and documented HMIS data release protocol that governs release of all data from the HMIS.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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</thead>
<tbody>
<tr>
<td>CoC</td>
</tr>
</tbody>
</table>

5.15 Program Funding Training & Orientation.

All required participants pertaining to HMIS standards (including McKinney-Vento funded programs such as CoC, ESG, and HOPWA projects that target homelessness) receive training and orientation on regulations pertaining to McKinney-Vento funding.

<table>
<thead>
<tr>
<th>Responsible Party</th>
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</thead>
<tbody>
<tr>
<td>CoC</td>
</tr>
</tbody>
</table>

6. Other Federal Requirements

6.1 Drug-Free Workplace

The HMIS Grantee adopts and enforces a drug-free workplace policy. The policy is posted and available for review.
6.2 Conflict of Interest

The HMIS Grantee adopts a conflict of interest policy for board members, staff, and volunteers.

6.3 Equal Opportunity & Non-Discrimination Policy

The HMIS Grantee adopts an equal opportunity and non-discrimination policy.
Glossary

This section provides HUD definitions for terms commonly used throughout this document.

Clarity Santa Clara County: This term refers to the implementation of the Clarity Human Services software as the county-wide HMIS for Santa Clara.

Clarity System: This term refers to the Clarity Human Services HMIS software.

Client: A living individual about whom a Contributory HMIS Organization (CHO) collects or maintains protected personal information: (1) because the individual is receiving, has received, may receive, or has inquired about assistance from a CHO; or (2) in order to identify needs, or to plan or develop appropriate assistance within the CoC.

Continuum of Care (CoC): The primary decision making entity defined in the funding application to HUD as the official body representing a community plan to organize and deliver housing and services to meet the specific needs of people who are homeless as they move to stable housing and maximum self-sufficiency.

CoC Program: A program identified by the CoC as part of its service system, whose primary purpose is to meet the specific needs of people who are experiencing a housing crisis.

Contributory CoC Program: A homeless assistance program or homelessness prevention program that contributes Protected Personal Information (PPI) or other client-level data to an HMIS.

Contributory HMIS Organization (CHO): An organization that operates a contributory homeless assistance program or homelessness prevention program or contributory non-homeless assistance program.

Data Recipient: A person who obtains PPI from an HMIS Lead Agency or from a CHO for research or other purposes not directly related to the operation of the HMIS, CoC, HMIS Lead Agency, or CHO.

End User (or User): An employee, volunteer, affiliate, associate, and any other individual acting on behalf of a CHO or HMIS Lead Agency who uses or enters data in the HMIS or another administrative database from which data are periodically uploaded to the HMIS.

HMIS Grantee: Entity responsible for soliciting, collecting, and analyzing feedback from end-users, program managers, agency executive directors, and homeless person

HMIS Lead Agency: An organization designated by a CoC to operate the CoC’s HMIS on its behalf.

HMIS Software Solution Provider: An organization that sells, licenses, donates, builds or otherwise supplies the HMIS user interface, application functionality and database.

HMIS User Committee: Group of entities that provide recommendations on use of software and software enhancements
HMIS Vendor: A contractor who is paid to provide services for the operation of a CoC’s HMIS. An HMIS vendor includes an HMIS software solution provider, web server host, and data warehouse provider, as well as a provider of other contracted information technology or support.

Homeless Assistance Program: A program whose primary purpose is to meet the specific needs of people who are literally homeless (as defined in data element 3.11, Housing Status). Homeless assistance programs include outreach, emergency shelter, transitional housing, rapid re-housing, permanent housing and permanent supportive housing.

Homelessness Prevention Program: A program whose primary purpose is to meet the specific needs of people who are imminently losing their housing or at risk of losing their housing (as defined in data element 3.11, Housing Status.). Homelessness prevention programs include those funded by HPRP and other homelessness prevention programs identified by the CoC as part of its service system.

Homeless Management Information System (HMIS): The information system designated by a CoC to process Protected Personal Information (PPI) and other data in order to create an unduplicated accounting of homelessness within the CoC. An HMIS may provide other functions beyond unduplicated accounting.

Santa Clara County CoC Structure: Santa Clara County is one Continuum of Care which utilizes the Clarity System HMIS.

Non-Contributory CoC Program: A CoC Program that does not contribute PPI or other client-level data to an HMIS.

Participating CoC Program/Agency: A Contributory CoC Program or Agency that makes reasonable efforts to record all the universal data elements and all other required data elements as determined by HUD funding requirements on all clients served and discloses these data elements through agreed upon means to the HMIS Lead Agency at least once annually.

Protected Personal Information (PPI): Information about a client: (1) whose identity is apparent from the information or can reasonably be ascertained from the information; or (2) whose identity can, taking into account any methods reasonably likely to be used, be learned by linking the information with other available information or by otherwise manipulating the information.

Processing: An operation or set of operations performed on PPI, whether or not by automated means, including but not limited to collection, maintenance, use, disclosure, transmission, and destruction of the PPI.

Technical Administrator / Security Officer: This person is designated by each agency to serve the following roles: primary contact for communications regarding HMIS; supervise software implementation; responsible for ensuring compliance with applicable security standards; organize and schedule timely new user set-up and end user training; run package reports; collaborate with HMIS lead in the development of customized reports; and review and assess the security measures in place to protect client data.
Unduplicated Accounting of Homelessness: An unduplicated accounting of homelessness includes measuring the extent and nature of homelessness (including an unduplicated count of homeless persons), utilization of homelessness programs over time, and the effectiveness of homelessness programs.

Unduplicated Count of Homeless Persons: An enumeration of homeless persons where each person is counted only once during a defined period of time.

Victim Service Provider: A nonprofit or nongovernmental organization including rape crisis centers, battered women’s shelters, domestic violence transitional housing programs, and other programs whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking.
References


Revocation of Client Consent

**Clarity - Homeless Management Information System**

**Client Revocation of Consent to Release Information**

I hereby revoke permission for the partner agencies in the Santa Clara County Continuum of Care to share my personal information and information regarding my family in the Homeless Management Information System (HMIS). I understand that my information will remain in HMIS as part of the non-identifying data collected on homeless services provided by the Continuum of Care, but that my personal and family information will no longer be available to any partner agency.

_________________________  _________________________  ___________
Client Name (please print)  Client Signature  Date

_________________________
Client HMIS Number (SSN)

**Executed At:**

_______________________________________________
Name of Partner Agency

__________________________  _______________________  ___________
Agency Personnel Name (print)  Agency Personnel Signature  Date
Comments:
(Comments and ideas from clients and case workers are encouraged):
EXHIBIT B

Client Information Sheet

Clarity - Homeless Management Information
Client Information Sheet

This information sheet is available in several different languages and is also available in large print.

What is the HMIS System?
It is a networked, computerized record keeping system. HMIS stands for Homeless Management Information System, and is a requirement for all programs and agencies providing services to low-income and homeless households with the support of federal funds.

What is the purpose of the HMIS System?
The HMIS is used by provider agencies to record information about clients that they serve. This information helps the agencies plan for and provide services to clients. This information also can be shared among partnering agencies – in order to improve the coordination and delivery of your services. Partnering agencies have signed agreements to treat your information in a professional and confidential manner.

Why is this type of information being collected?
A summary of the information gathered from clients will be used to advocate for more adequate resources for homeless people. Gathering certain basic information (race, date of birth, family size, etc.) about you and the members of your household is also a requirement of the federal and local funding which supports this program.

How can the HMIS System benefit me, the client?
By gathering this information on you only once –you can be served by other agencies without reporting all the details (date of birth, social security number, last address, etc.) again and again. If there is a reason that providing your name or the name of other members of your household would place you (or your household member) at risk, then you can request that your information...
NOT be shared with other agencies. You have the right to revoke the sharing of your information at any time simply by completing a “Client Revocation of Consent to Release Information” form. This form is available at any HMIS-participating agency.

Also, by using the information you provide for the HMIS, you and your case worker can work together to identify the services you need and work to obtain them.

**Who has access to your information?**

Only the staff who work directly with you, or who have administrative responsibilities in *this organization* will be authorized to look at, enter, or use information that is kept in your file. Report developers and Bitfocus staff may also see your data. There are strict guidelines for who has access to your information. Non-Identifying client data will be used by homeless advocates, shelter staff, and local, state, and federal officials to better address the needs of the homeless.

**What are your rights as a client?**

You may be required to answer some questions as a prerequisite for a program, but there will be other questions you can choose not to answer. You have a right to view your record and to correct inaccurate information. You also have a right to a copy of your record. We will also NEVER give any information (health, medical needs, mental health, domestic violence, etc.) about you to anyone outside this organization, UNLESS YOU GIVE WRITTEN CONSENT, or as required by law through a subpoena or a court order. If you choose to not answer any questions, you may not be able to receive services from this community.
SANTA CLARA COUNTY HMIS
PRIVACY STATEMENT

THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

The Santa Clara County Homeless Management Information System (“SCC HMIS”) is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care (“CoC”), SCC HMIS is administered by the County of Santa Clara (“County”) and Bitfocus, Inc. (“Bitfocus”) in a software application called Clarity Human Services (“Clarity”). This Privacy Statement (the “Privacy Statement”) describes how ______________________ (the “Partner Agency,” or simply the “Agency”) may use and disclose your protected personal information (“PPI”), including identifying information (such as your name, birth date, gender, race, social security number, phone number, residence address, photographic likeness, and other similar identifying information) and financial information (such as your employment status, income verification, public assistance payments or allowances, food stamp allotments, and other similar financial information), as well as protected health information (“PHI”) included in your responses to questions asked as part of the standard HMIS intake. The Agency may be required to collect some PPI or PHI by law or by funders of the Agency’s programs. The Agency may choose to collect other PPI to improve housing or services quality; to identify patterns and monitor trends over time; to conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; to
enhance inter-agency coordination; and to monitor and report on the delivery, impact, and quality of housing and services. The Agency will not collect PPI without your written consent in the form of one or more existing Client Consent to Data Collection and Release of Information form(s).

The Agency will use and release your PPI and PHI to:

1. Verify your eligibility and prioritization for services;
2. Provide you with or refer you to services that meet your needs;
3. Manage and evaluate the performance of its programs;
4. Report on program operations and outcomes to funders of its programs or apply for additional funding to support the program serving you or other programs;
5. Collaborate with other local agencies to improve service coordination and delivery, reduce gaps in services, and develop community-wide strategic plans to address basic human needs; or
6. Participate in research projects to better understand the needs of populations served.

This agency may also be required to release your PPI for the following reasons:

1. When the law requires it;
2. When necessary to prevent or respond to a serious and imminent threat to health or safety; or
3. When a judge, law enforcement agency, or administrative agency issues an order.

The Agency will use and release your PPI and PHI to the minimum extent necessary to effect the purposes of using and releasing it under the circumstances. Use and release of your PPI other than those described above will not be made without your written consent in the form of one or more existing Client Consent to Data Collection and Release of Information form(s). As detailed in such form(s), you have the right to revoke your consent by submitting a written and signed request to revoke your consent to:

Bitfocus, Inc.
ATTN: SCC HMIS
9101 W. Sahara Ave. #105-158
Las Vegas, NV 89117
Consent may be revoked verbally for records relating to drug/alcohol treatment or mental health treatment.

You also have the right to request in writing:

1. A copy of all PPI and PHI collected;
2. Any change to any PPI or PHI used to make decisions about your care and services (provided, however, that this request may be denied at the Agency’s discretion, but your request will be noted in the program records);
3. An account of all releases of your PPI and PHI;
4. Restrictions on the type of information released to other Partner Agencies; and
5. A current copy of this Privacy Statement and a record of all amendments made hereto.

The Agency reserves the right to refuse your request under any of the following circumstances:

1. The information responsive to your request was or is being compiled in reasonable anticipation of litigation or comparable proceedings;
2. The record responsive to your request includes information about another individual (other than a health care or homeless services provider);
3. The information responsive to your request was obtained under a promise of confidentiality (other than a promise from a health care or homeless services provider) and release of such information would reveal the source of the information; or
4. The Agency reasonably believes that release of the information responsive to your request would result in the endangerment of the life or physical safety of any individual.

If your request is denied, you will receive a written explanation of the reason for such denial. Additionally, you have the right to appeal the denial by following Agency grievance procedures. Regardless of the result of your appeal, you have the right to add to your records a concise statement of disagreement. The Agency will release such statement of disagreement whenever it releases the disputed PPI to another individual or entity.

All agents and representatives of the Agency with access to your PPI and PHI are required to complete formal training in privacy requirements at least annually.
This Privacy Statement may be amended at any time. Amendments may affect information obtained by the Agency before the date of the change. An amendment to this Privacy Statement regarding use or release of information will be effective with respect to information processed before the amendment, unless otherwise stated.

This Privacy Statement reflects the basic requirements of the most recent versions of the HMIS Data Standards Manual and HMIS Data Dictionary issued by the U.S. Department of Housing and Urban Development (“HUD”). To the extent that this Privacy Statement is not consistent with HUD’s basic requirements described above, HUD’s requirements will control.

All questions and requests related to this Privacy Statement should be directed to:

__________________________________________________
[Name and Title of Agency Security Officer or Chief Privacy Officer]
Address: ____________________________

Phone: ____________________________

Email: ____________________________
EXHIBIT D

Client Consent for Release of Information

>>PLEASE SEE FOLLOWING PAGES<<
SANTA CLARA COUNTY HMIS
CLIENT CONSENT TO DATA COLLECTION AND RELEASE OF INFORMATION

THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

The Santa Clara County Homeless Management Information System (“SCC HMIS”) is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care (“CoC”), SCC HMIS is administered by the County of Santa Clara (“County”) and Bitfocus, Inc. (“Bitfocus”) in a software application called Clarity Human Services (“Clarity”). Clients must consent to the collection, use, and release of their information, which helps the CoC to provide quality housing and services to homeless and low-income people.

Client information is collected in SCC HMIS and released to housing and services providers (each, a “Partner Agency,” and collectively, the “Partner Agencies”), which includes community based organizations and government agencies. Partner Agencies use the information in SCC HMIS: to improve housing and services quality; to identify patterns and monitor trends over time; to conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; to enhance inter-agency coordination; and to monitor and report on the delivery, impact, and quality of housing and services.

Client information is protected by limiting access rights to the database and by limiting the parties to whom the confidential information may be released, in compliance with federal, state, and local regulations governing the confidentiality of client records. Each person or agency with access rights to SCC HMIS, or to whom client information is released, must sign an agreement to maintain the security and confidentiality of client information. Upon any violation of the agreement, access rights may be terminated, and the person or agency found to be in violation of the agreement may be subject to further penalties.

BY SIGNING THIS FORM, I AUTHORIZE THE FOLLOWING:

- I authorize the County, Bitfocus, the CoC, the Partner Agencies, and their authorized agents and representatives to collect, use, and share basic information about me. I understand that the Partner Agencies may change over time, and that a current list of Partner Agencies has been provided to me. I also understand that I may request an updated list at any time or view the list at: http://scc.hmis.cc/partner-agencies.html. I
understand that the collection, use, and release of this information is for the purpose of assessing my needs for housing, counseling, food, utility assistance, or other services.

- By initialing one or more of the space(s) in the table below, I authorize that the information or records entered into SCC HMIS may include the following specific types of protected personal information ("PPI") and protected health information ("PHI"). If I do not initial one or more space(s) in the table below, I do not authorize the specific type of information to be entered into SCC HMIS:

<table>
<thead>
<tr>
<th>Client initials</th>
<th>Type of PPI/PHI</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Identifying information (including: name, birth date, gender, race, ethnicity, social security number, phone number, residence address, or other similar identifying information)</td>
</tr>
<tr>
<td></td>
<td>• My photograph or other likeness</td>
</tr>
<tr>
<td></td>
<td>• Medical information included in my responses to questions asked as part of the standard HMIS intake and identification as a client or patient of the Santa Clara Valley Health and Hospital System</td>
</tr>
<tr>
<td></td>
<td>• HIV/AIDS-related information included in my responses to questions asked as part of the standard HMIS intake</td>
</tr>
<tr>
<td></td>
<td>• Mental health information included in my responses to questions asked as part of the standard HMIS intake and identification as a client receiving mental health services from the County’s Behavioral Health Services Department</td>
</tr>
<tr>
<td></td>
<td>• Substance abuse treatment information included in my responses to questions asked as part of the standard HMIS intake and identification as a client receiving substance abuse or alcohol treatment from the County’s Behavioral Health Services Department</td>
</tr>
<tr>
<td></td>
<td>• Financial and benefits information (including: employment status, income verification, public assistance payments or allowances, food stamp allotments, health care coverage, or other similar financial or benefits information)</td>
</tr>
<tr>
<td></td>
<td>• Housing information</td>
</tr>
<tr>
<td></td>
<td>• Information about services provided by HMIS Partner Agencies (including: date, duration, and type of service; and other similar service information)</td>
</tr>
<tr>
<td></td>
<td>• Other (specify): __________________________________________________________</td>
</tr>
</tbody>
</table>

Version 2015-08-31

This form may not be amended or modified except on approval of the County of Santa Clara’s Office of Supportive Housing.
Please send all requests for changes to support@bitfocus.com.
• I authorize Partner Agencies and their authorized agents and representatives to use the PPI and PHI collected in SCC HMIS to prioritize me for and refer me to housing and services. I further authorize the Partner Agencies and their authorized agents and representatives to communicate with other Partner Agencies and their authorized agents and representatives about my case for the purposes of coordinating prioritization and placement and determining eligibility for housing and services.

BY SIGNING THIS FORM, I UNDERSTAND THAT:

• This Consent will expire on [insert date] _____________________. This consent is not valid if an expiration date is not included.

• Use of my likeness in a photograph will be viewable by the Partner Agencies and their authorized agents and representatives. The photograph may be cropped or edited as needed.

• The Partner Agencies and their authorized agents and representatives individually have signed agreements to maintain the security and confidentiality of my information. I have the right to review all applicable confidentiality policies and signed agreements.

• I understand that I may refuse to sign this Consent. My refusal will not affect my eligibility for benefits or services, or my ability to obtain treatment or payment. In addition, consenting to the release of my information does not guarantee that I will receive services, and my refusal to consent does not disqualify me from receiving services. I have a right to receive a copy of this authorization.

• I may revoke this Consent at any time, but I must do so in writing and submit it to the following address. This Consent may be revoked verbally for records relating to drug/alcohol treatment or mental health treatment.

    Bitfocus, Inc.
    ATTN: SCC HMIS
    9101 W. Sahara Ave. #105-158
    Las Vegas, NV 89117

• If I revoke this Consent, the revocation will take effect upon receipt, except to the extent

Version 2015-08-31

This form may not be amended or modified except on approval of the County of Santa Clara’s Office of Supportive Housing. Please send all requests for changes to support@bitfocus.com.
that others have acted in reliance upon this Consent.

- My PPI and PHI are protected by federal, state, and local regulations governing the confidentiality of client records. My information cannot be released without my written consent, except to the extent that the regulations provide otherwise.

- Auditors or funders who have legal rights to monitor or review the work of one or more Partner Agencies, including the U.S. Department of Housing and Urban Development, may view my PPI in the ordinary course of their work.

- Bitfocus serves as the System Administrator for SCC HMIS and software vendor of Clarity. To the extent that authorized agents and representatives of Bitfocus perform work on SCC HMIS, they may view my information in the ordinary course of their work.

- Partner Agencies and their authorized agents and representatives who use SCC HMIS to research and write reports have signed agreements to maintain the security and confidentiality of client information.

- I understand that medical, HIV/AIDS, mental health, and drug and alcohol records are protected under various federal and state regulations, including California Welfare and Institutions Code Section 5328, Confidentiality of Medical Information Act, California Civil Code Section 56.10 (CMIA), the Health Insurance Portability and Accountability Act, 45 C.F.R., parts 160 and 164 (“HIPAA”), and the Federal Regulations Governing Confidentiality of Drug Abuse Patient Records, 42 C.F.R., Part 2, and cannot be disclosed without my written consent unless otherwise permitted by law.

- I expressly authorize my information disclosed pursuant to this Consent to be further disclosed by the recipients listed above for the purposes of assessing my needs for housing, counseling, food, utility assistance, or other services as part of the work of the CoC and HMIS.

[Signatures on the following page]
SIGNATURE

Date: _____________________ Time: __________________ AM/PM

Signature of Patient/Client or Representative:
_________________________________________________________________

If signed by a person other than the patient/client, indicate relationship:
_________________________________________________________________

Print Name:
_________________________________________________________________

THE FOLLOWING IS REQUIRED ONLY FOR RELEASE OF INFORMATION FOR CLIENTS RECEIVING MENTAL HEALTH SERVICES FROM THE COUNTY’S BEHAVIORAL HEALTH SERVICES DEPARTMENT, OR AS OTHERWISE OUTLINED IN CALIFORNIA WELFARE AND INSTITUTIONS CODE SECTION 5328:

☐ I authorize the release of the requested information.

☐ I do not authorize the release of the requested information.

Signature of Authorized Mental Health Staff:
_________________________________________________________________

Name/Title:
_________________________________________________________________
Client Grievance Form

Instructions

HMIS Clients are encouraged to work with the agency they are having issues with before submitting a grievance. A grievance should be used as a last resort. All grievances are taken VERY seriously, and reviewed by the HMIS Working Group on an individual basis.

If you have not been able to resolve your issue with the agency directly, please complete the attached form.

Complete ALL fields
Print Legibly
Be as specific and as detailed as possible
Attach additional pages as necessary
Sign and Date the form

After you have completed the form, please deliver the form to Bitfocus, Inc. in any ONE of the following ways:

Via FAX at: (702) 991-1881
Via US Mail at:
Bitfocus, Inc.
9101 W. Sahara Ave #105-158
Las Vegas, NV 89117

If you have any questions about completing this form, please call (702) 614-6690 and ask to speak with the HMIS Project Manager.
EXHIBIT F

User Policy & Responsibility Statement (End User Agreement)

>>PLEASE SEE FOLLOWING PAGES<<
The Santa Clara County Homeless Management Information System ("SCC HMIS") is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care ("CoC"), SCC HMIS is administered by the County of Santa Clara ("County") and Bitfocus, Inc. ("Bitfocus") in a software application called Clarity Human Services ("Clarity"). Clients must consent to the collection, use, and release of their information, which helps the CoC to provide quality housing and services to homeless and low-income people.

Client information is collected in SCC HMIS and released to housing and services providers (each, a “Partner Agency,” and collectively, the “Partner Agencies”), which includes community based organizations and government agencies. Partner Agencies use the information in SCC HMIS: to improve housing and services quality; to identify patterns and monitor trends over time; to conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; to enhance inter-agency coordination; and to monitor and report on the delivery, impact, and quality of housing and services.

SCC HMIS follows the HMIS data standards established by the U.S. Department of Housing and Urban Development ("HUD") in the most recent versions of HUD’s HMIS Data Standards Manual and HMIS Data Dictionary or other applicable publications. As a Partner Agency authorized agent or representative (an “SCC HMIS End User,” or simply an “End User”), you will play a critical role in collecting and entering valuable data and safeguarding client confidentiality.

Please initial below to indicate your understanding and acceptance of your responsibility regarding SCC HMIS.

<table>
<thead>
<tr>
<th>Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have read and understood, and I agree to comply with, the most recent versions of the SCC HMIS Standard Operating Procedures and the SCC HMIS Security Plan.</td>
</tr>
<tr>
<td>I have read and understood, and I agree to comply with, my Partner Agency’s Privacy Statement.</td>
</tr>
<tr>
<td>I understand that my user identification and password information are for my use only and must not be used by or shared with anyone other than me.</td>
</tr>
<tr>
<td>I will keep my password information electronically and physically secure.</td>
</tr>
<tr>
<td>I understand that the only individuals who may view or receive SCC HMIS client-level information are authorized SCC HMIS End Users and the clients to whom the information pertains. I further understand that not all SCC HMIS End Users have the same level of access to client-level information, and that I cannot share client-level information from HMIS with anyone, including other SCC HMIS End Users, except through the HMIS system.</td>
</tr>
<tr>
<td>I understand that these duties and responsibilities apply to all End Users of SCC HMIS, regardless of position, role, or authority.</td>
</tr>
<tr>
<td>I will only view, obtain, disclose, or use the SCC HMIS information to perform my assigned duties on behalf of the Partner Agency named below.</td>
</tr>
<tr>
<td>I have verified that there is a copy of the SCC HMIS Privacy Statement posted at every workstation where I may be collecting SCC HMIS data.</td>
</tr>
<tr>
<td>Initials</td>
</tr>
<tr>
<td>-----------------</td>
</tr>
<tr>
<td>If I am logged in to SCC HMIS and must leave the workstation where the computer is located, I will log out of HMIS before I step away from the workstation.</td>
</tr>
<tr>
<td>I will keep all SCC HMIS information, whether in hard copy or electronic form, secure and confidential at all times, and when the information is no longer needed I will ensure that it is properly destroyed to maintain confidentiality.</td>
</tr>
<tr>
<td>If I notice or suspect a breach of SCC HMIS system security or client confidentiality standards, I will immediately notify the Partner Agency Technical Administrator and Security Officer.</td>
</tr>
<tr>
<td>I will not knowingly enter false or malicious information into SCC HMIS.</td>
</tr>
<tr>
<td>I understand that it is my responsibility to ensure that I am always using the most recent versions of SCC HMIS standard forms and workflow.</td>
</tr>
<tr>
<td>I will secure informed consent from each client from whom information is collected, and I have completed the SCC HMIS Client Consent Training most recently on ____________ (please print date).</td>
</tr>
<tr>
<td>I will follow the standards and recommendations of the SCC HMIS Data Quality Plan, and I will always strive to ensure that the information recorded in SCC HMIS is current and accurate.</td>
</tr>
<tr>
<td>I understand that my user identification and password information will terminate upon a change in my employment status or if I no longer require HMIS to perform my assigned duties on behalf of the Partner Agency named below.</td>
</tr>
<tr>
<td>I will not use information recorded in SCC HMIS to discriminate against a client in housing or services directly or indirectly on the basis of race, ethnicity, ancestry, skin color, religion, sex, gender identity, sexual orientation, national origin, age, familial status, or disability.</td>
</tr>
<tr>
<td>As partners working toward common outcomes in a shared system, I will treat all SCC HMIS Partner Agencies and all SCC HMIS End Users with fairness, respect, and trust.</td>
</tr>
<tr>
<td>I have completed the SCC HMIS Privacy and Security Training most recently on ______________ (please print date). I will attend a refresher training annually.</td>
</tr>
<tr>
<td>I have completed the SCC HMIS Workflow Training most recently on ______________ (please print date). I will attend a refresher training annually.</td>
</tr>
</tbody>
</table>

Partner Agency Name: _________________________ SCC HMIS End User Name: _________________________

By signing below, I re-affirm that I understand and agree to comply with each statement listed above.

______________________________  _________________________
HMIS SCC End User Signature    Date

*(To be completed by the Partner Agency Technical Administrator)*

I certify that the End User named above requires access to HMIS to perform her or his assigned duties and that she or he has completed the SCC HMIS Privacy and Security Training and the SCC HMIS Workflow Training.

______________________________
Partner Agency Technical Administrator Printed Name

______________________________  _________________________
Partner Agency Technical Administrator Signature    Date

The Partner Agency must retain the original signed copy of this form for seven (7) years from the latest date above. A copy should be readily available in a file maintained by the Partner Agency Technical Administrator.

Santa Clara County HMIS End User Agreement (Version 2015-09-21) - 2 of 2
EXHIBIT G

HMIS Disaster Recovery Plan

>>PLEASE SEE FOLLOWING PAGES<<
Information Security Department

DISASTER RECOVERY PLAN

Summary Plan

Purpose: One of the objectives of Silver Spur Systems LLC’s information security department is to establish an IT Disaster Recovery Plan. This Disaster Recovery Plan document was created to assist Silver Spur Systems LLC in the development of consistent and cohesive IT Disaster Recovery Plans.

This is a summary document which omits key infrastructure references to protect our Information Security Infrastructure.
Introduction

The purpose of this summary is to document a Disaster Recovery Plan that addresses information resources as they may be affected in the event of a disaster. This document is meant to minimize any of these effects, and enable Clarity Human Services to either maintain, or quickly resume, mission-critical functions. This Disaster Recovery Plan also serves as the primary guide for Silver Spur Systems LLC Information Technology Services Department in the recovery and restoration of the information technology systems in the event that they are damaged or destroyed as a result of a disaster.

Document Overview

The Disaster Recovery Plan is composed of numerous sections documenting the resources and procedures to be used in the event that a disaster occurs at the data center, which is located at Viawest in Las Vegas, Nevada. Separate sections are devoted to the specific recovery procedures for each supported application or platform. Also included are sections documenting the personnel requirements that are necessary to perform each recovery task. This plan will be updated on a regular basis as changes to the computing and networking systems are made. Due to the very sensitive nature of the information contained in the plan, this summary omits several key references.

PERSONNEL AUTHORIZED TO DECLARE A DISASTER OR RESUME NORMAL OPERATIONS

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robert Herdzik</td>
<td>President &amp; CEO</td>
</tr>
<tr>
<td>Tauri Royce</td>
<td>Project Manager</td>
</tr>
</tbody>
</table>

Disaster Recovery Plan Summary
Plan Activation

This plan will be activated in response to internal or external threats to the Information Technology Systems of Silver Spur Systems LLC. Internal threats could include fire, bomb threat, loss of power or other utility or other incidents that threaten the staff and/or the facility. External threats include events that put the facility in danger. Examples might include severe weather or a disruptive incident in the community. Once a threat has been confirmed, the plan management team will assess the situation and initiate the plan if necessary.

Resumption of Normal Activities

Once the threat has passed, equipment will be repaired and/or replaced, and/or a new data center will be transitioned. The disaster recovery team will then assess the situation; If the disaster has expired, the team will resume normal operations.

Plan Objectives

The primary objectives of this plan are to protect Silver Spur Systems’ computing resources, to safeguard the vital records of which Clarity Human Services is the custodian, and to guarantee the continued availability of essential IT services. The role of this plan is to document the pre-agreed decisions and to design and implement a sufficient set of procedures for responding to a disaster that involves the data center and its services.

A disaster is defined as the occurrence of any event that causes a significant disruption in IT capabilities. This plan assumes the most severe disaster, the kind that requires moving computing resources to another location. Less severe disasters are controlled at the appropriate management level as outlined in this plan.

The basic approach, general assumptions, and possible sequence of events that need to be followed are stated in the plan. It will outline specific preparations prior to a disaster and emergency procedures immediately after a disaster. The plan is a roadmap from disaster to recovery. Due to the nature of the disaster, the steps outlined may be skipped or performed in a different sequence. The general approach is to make the plan as threat independent as possible. This means that it should be functional regardless of what type of disaster occurs.

For the recovery process to be effective, the plan is organized around a team concept. Each team has specific duties and responsibilities once the decision is made to invoke the disaster recovery mode. The leader of each team and their alternates are key personnel. IT staff will be assigned to multiple teams with specific assignments made according to knowledge, experience and availability. It is also assumed vendors and knowledgeable personnel will be actively enlisted to help during a recovery situation.
The plan represents a dynamic process that will be kept current through updates, testing, and reviews. As recommendations are completed or as new areas of concern are recognized, the plan will be revised to reflect the current IT environment.

**Disaster Recovery Phases**

The disaster recovery process consists of four phases. They are:

- Phase 1: Disaster Assessment
- Phase 2: Disaster Recovery Activation
- Phase 3: Alternate Site/Data Center Rebuild
- Phase 4: Return Home

**Phase 1: Disaster Assessment**

The disaster assessment phase lasts from the inception of the disaster until it is under control and the extent of the damage can be assessed. Cooperation with Viawest emergency personnel is critical.

**Phase 2: Disaster Recovery Activation**

This phase begins if the decision to move primary processing to a location is made. The Disaster Recovery Management Team will assemble at the command center and call upon team members to perform their assigned tasks. The most important function is to fully restore operations at a suitable location and resume normal functions. Once normal operations are established at the alternate location, Phase 2 is complete.

**Phase 3: Alternate Site Operation/Data Center Rebuild**

This phase involves continuing operations at the alternate location. In addition, the process of restoring the primary site will be performed.

**Phase 4: Return Home**
This phase involves the reactivation of the primary data center at either the original or possibly a new location. The activation of this site does not have to be as rushed as the activation of the alternate recovery center. At the end of this phase, a thorough review of the disaster recovery process should be taken. Any deficiencies in this plan can be corrected by updating the plan.

Key Disaster Recovery Activities

Declaring a Disaster

Declaring a disaster means:

2. Activating the recovery plan
3. Notifying team leaders & staff
4. Notifying key management contacts
5. Notifying affected customer contacts
6. Securing a new location for the data center
7. Ordering and configuring replacement equipment
8. Reconfiguring the network
9. Restoring Virtual Machine infrastructure from onsite or offsite Backup
10. Keeping management informed
11. Keeping customer contacts informed

Disaster Decision Tree

<table>
<thead>
<tr>
<th>Event</th>
<th>Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Center destroyed</td>
<td>Activate disaster recovery plan</td>
</tr>
<tr>
<td>Data Center unusable for MORE than 2 days</td>
<td>Activate disaster recovery plan</td>
</tr>
<tr>
<td>Data Center unusable for 2 days or LESS</td>
<td>Management Team perform an assessment</td>
</tr>
<tr>
<td>Network down</td>
<td>Management Team perform an assessment</td>
</tr>
<tr>
<td>Environmental problems (A/C, power, etc)</td>
<td>Management Team perform an assessment</td>
</tr>
</tbody>
</table>

Decision Making For A Data Center Disaster

<table>
<thead>
<tr>
<th>Decision Point</th>
<th>Actions</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Decision Point</td>
<td>Actions</td>
<td>Category</td>
</tr>
<tr>
<td>----------------</td>
<td>---------</td>
<td>----------</td>
</tr>
<tr>
<td>1. Incident occurs</td>
<td>2. Alarm sounds</td>
<td>5. Meet in designated area</td>
</tr>
<tr>
<td></td>
<td>3. Begin evacuation</td>
<td>4. Ensure all employees evacuated</td>
</tr>
<tr>
<td></td>
<td>7. Determine if incident is real</td>
<td></td>
</tr>
<tr>
<td></td>
<td>8. If no, then</td>
<td>9. Recovery plan is not activated</td>
</tr>
<tr>
<td></td>
<td></td>
<td>10. Return to normal operations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>12. Evaluate evacuation</td>
</tr>
<tr>
<td></td>
<td>7. Determine if incident is real</td>
<td></td>
</tr>
<tr>
<td></td>
<td>8. If yes, then</td>
<td>9. Switch call handling to an alternate location</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>10. Determine scope of incident and assess damage after building access is allowed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>11. If small scope with no to minimal damage, then</td>
<td>12. Return and begin clean up and monitor repairs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>13. Return calls</td>
</tr>
<tr>
<td></td>
<td></td>
<td>14. Return to normal operations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Short Evacuation Required</td>
</tr>
<tr>
<td></td>
<td>10. Determine scope of incident and assess damage after building access is allowed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>11. If moderate to large scope or moderate to severe damage, then</td>
<td>12. Activate alternate computer processing site</td>
</tr>
<tr>
<td></td>
<td></td>
<td>13. Activate recovery team</td>
</tr>
<tr>
<td></td>
<td></td>
<td>14. Notify management and employees of of situation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Moderate to Severe Damage to Data Center or Infrastructure</td>
</tr>
<tr>
<td></td>
<td>16. Assess damage</td>
<td></td>
</tr>
<tr>
<td></td>
<td>17. If damage is moderate and will be able to return in 30 days or less</td>
<td>18. Complete repairs as necessary while operating at alternate site</td>
</tr>
<tr>
<td></td>
<td></td>
<td>19. Return to data center</td>
</tr>
<tr>
<td></td>
<td></td>
<td>20. Return to normal operations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Moderate Severe Damage to Data Center or Infrastructure</td>
</tr>
<tr>
<td></td>
<td>16. Assess damage</td>
<td></td>
</tr>
<tr>
<td></td>
<td>17. If more than 30 days, locate to new facility</td>
<td>18. Order supplies and equipment</td>
</tr>
<tr>
<td></td>
<td></td>
<td>19. Set up and operate at new facility while</td>
</tr>
<tr>
<td></td>
<td></td>
<td>20. Return to normal operations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Severe Data to Data Center or Infrastructure</td>
</tr>
</tbody>
</table>
### Recovery Time Objectives (RTO)

The Recovery Time Objectives reflect the estimated recovery times based on current configurations and operations.

<table>
<thead>
<tr>
<th>NETWORK SERVICE</th>
<th>RECOVERY GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>LAN (Local Area Network)</td>
<td>2-3 days estimate</td>
</tr>
<tr>
<td>WAN (Wide Area Network)</td>
<td>2 days estimate</td>
</tr>
<tr>
<td>Internet</td>
<td>2 days estimate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>APPLICATION RECOVERY TIER</th>
<th>RECOVERY GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructure Servers</td>
<td>Immediately after WAN/Internet restore</td>
</tr>
<tr>
<td>Application / SQL Servers</td>
<td>3 days after LAN/WAN restore</td>
</tr>
<tr>
<td>Reporting Servers</td>
<td>5 days after LAN/WAN restore</td>
</tr>
</tbody>
</table>

These RTO’s should be considered best-case estimates. Silver Spur Systems LLC operates on a VMware virtual environment, with all server tiers fully virtualized. In the event of a disaster, the Disaster Assessment Team would assess the situation to determine if the local VM backups or the offsite VM backups (Amazon S3/Glacier) would be selected for recovery.

Once the assessment is complete, the Disaster Assessment Team will determine which temporary Data Center location to restore to. Current options are identified as Amazon Cloud or our Reno Data Center. Both locations are on standby.
Recovery Point Objectives (RPO)

Recovery Point Objectives (RPO) reflects the estimated point in time to which recovery would be made based on current configurations and operations. The exact recovery point for each server will vary due to the time when the backup takes place and when the disaster occurs. Below are general guidelines for the different types of DR data protection.

<table>
<thead>
<tr>
<th>DATA PROTECTION TYPE</th>
<th>RECOVERY POINT (AGE OF DATA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Onsite Backup</td>
<td>Up to 24 hours from disaster period.</td>
</tr>
<tr>
<td>Offsite Backup</td>
<td>Up to 7 days from disaster period.</td>
</tr>
</tbody>
</table>

Customers who have purchased additional Disaster Recovery SLA plans may have shorter RPO.

Roles of the Disaster Recovery Coordinator

The function of the Disaster Recovery Coordinator is vitally important to maintaining the plan in a consistent state of readiness. The Recovery Coordinator’s role is multifaceted. Not only does the Coordinator assume a lead position in the ongoing life of the plan, but the Coordinator is a member of the Continuity Management Team in the event of a computer disaster.

The primary responsibilities of the Disaster Recovery Plan Coordinator are as follows:

- Distribution of the Disaster Recovery Plan
- Training the Disaster Recovery Teams
- Testing of the Disaster Recovery Plan
- Evaluation of the Disaster Recovery Plan Tests
- Review, change and update the Disaster Recovery Plan

In a disaster situation, the Disaster Recovery Plan Coordinator will:

- Facilitate communication between technical and non-technical staff
- Act as a Project Manager to coordinate the efforts of:
  - Technical Staff
  - Business Staff
  - Vendors
  - Other personnel as needed
The Disaster Recovery Coordinator for Silver Spur Systems LLC is Robert Herdzik. The alternate Disaster Recovery Plan Coordinator is Yanis Guenane.

Overview of Offsite Storage

Items Stored Offsite

1. Router / VPN Firmware and Export Settings.
2. A current copy of this disaster recovery plan.
3. A copy of Veeam Backup & Recovery 7 extract utility.

All standard security and privacy precautions apply to offsite storage. The offsite storage facility is equipped with surge protectors and natural disaster protective measures.

Onsite backup includes all of the above, including nightly full Virtual Machine incremental backups of entire infrastructure and data.

Server Recovery General Information

These procedures outline the steps required to restore any of Silver Spur Systems LLC servers. Recovery for the servers assume that:

- Good backup data exists and can be retrieved from either onsite or offsite storage
- Replacement servers are on standby or Amazon Cloud servers are on standby
- Network connectivity is established

A decision must be made as to where the recovery will take place (Amazon Cloud or Reno Data Center). This decision is not made ahead of time since the specifics of the incident requiring recovery is not known.

Disaster Recovery Plan Maintenance

The disaster recovery plan is a “living” document. Failure to keep it current could severely impact Silver Spur Systems ability to successfully recover in the event of a disaster.
Some information contain in the plan is more dynamic than other information. A matrix of events and recommended maintenance schedule is included in this section. It is important to document changes to the plan and ensure that all copies of the plan are updated.

Changes to the plan could occur more frequently than the time frames listed in the following table. Major hardware upgrades might affect business recovery contracts as well as this plan. Software changes, personnel changes and other changes that affect the plan should be updated as soon as possible, not just when the recommended intervals occur.

<table>
<thead>
<tr>
<th>PERIOD</th>
<th>ACTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarterly</td>
<td>Review all job changes and update plan with new personnel assignments</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Have any new application servers been implemented? If so, have all disaster recovery implication been addressed?</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Have there been any major changes to existing applications? If so, update the recovery plan accordingly</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Has the hardware configuration changed? If the changes affect your ability to recover, make appropriate changes to the recovery configuration.</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Update the Network Configuration Diagrams / Infrastructure Wiki</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Visit the off-site storage location and ensure documentation is available and current</td>
</tr>
<tr>
<td>Quarterly</td>
<td>Ensure all team assignments are still valid</td>
</tr>
<tr>
<td>Semiannually</td>
<td>Test the plan and update it based on the results of the test</td>
</tr>
<tr>
<td>Annually</td>
<td>Review Amazon S3 / Glacier retention requirements</td>
</tr>
<tr>
<td>Annually</td>
<td>Review Insurance coverage</td>
</tr>
</tbody>
</table>

Testing the Disaster Recovery Plan
The Disaster Recovery Coordinator is responsible for testing of the disaster recovery plan at least annually to ensure the viability of the plan. On an on-going basis this frequency appears to be adequate considering the systems involved. However, special tests are to be given consideration whether there has been a major revision to the plan or significant changes in the software, hardware or data communications have occurred.

The objectives of testing the disaster recovery plan are as follows:

- Simulate the conditions of an ACTUAL Business Recovery situation.
- Determine the feasibility of the recovery process.
- Identify deficiencies in the existing procedures.
- Test the completeness of the business recovery information stored at the Offsite Storage Location.
- Train members of the disaster recovery teams.

The initial test of the plan will be in the form of a structured walk-through and should occur within two months of the disaster recovery plan’s acceptance. Subsequent tests should be to the extent determined by the Disaster Recovery Coordinator that are cost effective and meet the benefits and objectives desired.

Sample Recovery Test Agenda

1. What is the PURPOSE of the test?
2. What are the test OBJECTIVES?
3. How will the successful achievement of these objectives be measured?
4. At the conclusion of the test, collect test measurements from all participants.
5. Evaluate the test results. Determine if the test was successful or not.
6. Determine the implications of the test results. Does success for this test imply success in all recovery scenarios?
7. Update the plan based on results of the test.
EXHIBIT H

HMIS Security Plan

>>PLEASE SEE FOLLOWING PAGES<<
Information Security Department

HMIS SECURITY PLAN

Purpose: The purposes of this HMIS Security Plan are as follows:

- Provide an overview of the security requirements of the Clarity Human Services HMIS application, and describe the controls in place or planned for meeting those requirements; and
- Delineate responsibilities and expected behavior of all individuals who access the system.

In accordance with the HMIS standards outlined by the U.S. Department of Housing and Urban Development, this Security Plan is to be reviewed and updated annually.
Introduction

Bitfocus Inc.

Bitfocus is a consultancy firm that provides the following HMIS Implementation services to the HMIS Lead Agency:

- HMIS Software and Server Administration
- Telephone Help Desk Support
- Ticket Support
- HMIS Implementation and Maintenance
- Remote Web Based and On-Site Training
- Remote Web Based and On-Site Technical Assistance
- Training Manual and Procedural Documentation
- Custom Report Writing
- Data Warehouse Development and Administration
- HMIS Working Group Meeting engagement
- Planning and Policy Making
- AHAR, APR, and QPR support

Bitfocus Inc. provides HMIS Administration services for:

- SANTA CLARA COUNTY (CoC)

The Clarity Human Services HMIS Application

The Clarity Human Services HMIS Application is a cloud-based system that offers a comprehensive and end-user adjustable HMIS solution to meet the multiple integration, implementation, and management requirements of the Santa Clara County Continuum of Care.

General Description of HMIS Information Sensitivity

Clarity Human Services HMIS application stores and protects confidential individually identifiable health information. As such, it is equipped with a series of administrative,
physical, and technical safeguards for covered entities and their business associates to use to assure the confidentiality, integrity, and availability of electronic protected health information.

Applicable Laws Or Regulations Affecting The System

The Health Insurance Portability and Accountability Act of 1996 (HIPAA)

HIPAA’s Privacy Rule states that “Individually Identifiable Health Information” is to be considered “protected health information” [PHI] subject to the review and control of individual patients. Agencies and other entities handling PHI are mandated to restrict access to such information to appropriate persons and protect the privacy of individuals. Clarity Human Services includes customization features at micro and macro levels to automate the enforcement of federal, state, and local privacy requirements such as HIPAA.

Clarity Human Services Security Tools enable each partner agency to define which client data is shared with other agencies at every level, including the field level. The default data sharing setup associated with each partner agency can be defined on an agency-by-agency basis (i.e., Agency A may share all client data with Agency B, nothing with Agency C, and only core ID data with Agency D). Our privacy settings can be adjusted to override the default privacy configuration of each agency upon the request of the client.

Bitfocus, Inc. can confirm the capacity of Clarity Human Services to both meet and surpass current HIPAA & HUD requirements and the pending updates to the these requirements.

HUD Homeless Management Information Systems Requirements

Bitfocus Inc. maintains operations that are in accordance with the most current HMIS Systems requirements as prescribed by the U.S. Department of Housing & Urban Development (HUD).

System Environment
The Clarity Human Services HMIS Application is a cloud-based system equipped with the following technical security features:

- **Hardware Firewall:** The firewall forwards only port 443 (Encrypted SSL) to the internal web server.
- **Software Firewall:** Each customer webserver on the internal network is also protected by a software firewall.
- **VPN Access:** Access to the internal network is only possible via an encrypted VPN connection. Access to the internal network is only provided to Clarity Human Services staff, and System Administrators, and our customers.
- **Database Server:** The database is housed on an internal server, inaccessible from the public network.
- **Encryption:** All traffic is 2,048 bit SSL encrypted. All API traffic must be further AES encrypted.
- **PKI Encryption:** Customers may opt for staff or agency-level PKI encryption. Customers utilizing this method require an additional PKI certificate to be installed in their web browser to authenticate. PKI Certificates are fully administered within the System Administrator interface.
- **Encryption:** 2,048 bit SSL for all traffic.
- **IP Whitelist:** Customers may opt for staff or agency level IP Whitelisting. Customers utilizing this method require each user to login from a System Administrator defined list of allowed IP Addresses.

**System Interconnection/Information Sharing**

**Role-Based Security**

Clarity Human Services is designed around a sophisticated Access Control List (ACL) model, which provides granular level permissions to all areas of Clarity Human Services. The ACL was implemented using access roles. Individual access roles are assigned to a user to dictate which areas of the system they can view, what they can read/write/edit or delete, and how those roles relate to agencies they are potentially sharing data with. The ACL was designed to be completely transparent to the end user. Any areas of the system to which they are denied access are eliminated from view, providing a seamless user experience on any access role.

**Agency Sharing**
If a participating agency wishes to share data through the HMIS with one or more other agencies:

1. All agencies wishing to share data must meet with Bitfocus to discuss and address all details of data sharing. For example: What information is to be shared, direction of sharing, etc.
2. A separate Memorandum of Understanding must be created between Bitfocus and all agencies that will participate in the inter-agency sharing.
3. Agencies must comply with Section 8 of this document (relating to obtaining clients’ permission to have their information shared).

In regards to the coordination of data sharing, we are leaders in the field. Bitfocus partners with participating agencies and encourage them to sign Partner Agency Data Sharing Agreements, in order to allow for the coordination and management of shared service delivery. In Santa Clara County, ____% of participating agencies have agreed to sign and execute Partner Agency Data Sharing Agreements.

Bitfocus has dedicated an entire section of the HMIS application to Agency Sharing. In this section, System Administrators can fine-tune their sharing settings with the ability to create Agency Sharing default settings as well as create any agency exceptions. They have the ability to control whether data categories have ‘Not Shared’, ‘Basic Shared’, and ‘Full Sharing’ settings. And, as mentioned, Agency Exceptions can be created.

Access Roles

In order to further protect client data during referral processes, Clarity Human Services has a section devoted to Access Roles. System Administrators have the ability to create different Access Roles, each with different capabilities. For example, if volunteers come to the agency just to do data entry, System Administrators can create an access role that allows these volunteers to view and modify only data necessary to their purpose. Different Access Roles can be customized to end users at the individual level.

Intra- and Inter-Agency Restrictions

HIPAA requires entities sharing health data with each other to function within data-sharing protocols and agreements that support the basic principles of the HIPAA Privacy Rule. Clarity Human Services has sophisticated tools for assigning access rights to users. It is possible to define and create an unlimited number of Access Roles associated with varying levels of access down to every level, including the field level. Access Roles can also be defined on an agency basis. Each participating agency can define the data they wish to share with other organizations down to the field level. These cross-agency access rights can be adjusted on an agency-by-
agency basis [e.g. Agency A may share all of its client data with Agency B, selected data with Agency C, and no data with Agency D]

Automated Audit Trail

Clarity Human Services provides complete auditing records on all areas connected to user interaction. The audit trails are accessible by two methods:

1. Log Link – On every page, a Log Link is presented at the bottom right of the screen. When the System Administrator selects this link, any updates made to any of the data presented on the screen will appear. Items such as Old Values, New Values, date/time of the update, and the user who made the update are all presented in a simple format.

2. Database – The audit log is also provided through the relational database, allowing the System Administrator to access the data using a Query tool, or write reports to manage the updates in any way the System Administrator defines

Encryption Management

Encryption General

All information should be encrypted in the database per HUD standards. All connections to the Clarity database should be encrypted to HUD standards or higher. Encryption should be sufficient to prevent unauthorized personnel from accessing confidential information for any reason.

Encryption Management

In the event that system wide data decryption becomes necessary, the Working Group must obtain the written authorization of every participating agency’s executive director.
HMIS CONCEPTS & TERMS

Aggregate - Collected together from different sources and considered as a whole, and lacking identifying information.

Client - Somebody who uses or applies to use the services of a participating agency.

CoC – The acronym for Continuum of Care

Community - A group of people with a common background or with shared interests within a defined geographic area, for our area to include the State of Nevada.

Confidentiality - Entrusted with somebody’s personal or private information or matters.

Connectivity – The ability to connect two or more systems together. Pertaining to the HMIS system, the use of a high speed Internet connection for accessing the system.

Consent – Express acceptance of or agreement to something.

Data – The information in the system, for example, numbers, text, images, and sounds, in a form that is suitable for storage in or processing by a computer

Decryption – To render an encoded amount of data into plain language or out of its encrypted state.

Encryption – To convert computer data and messages to something incomprehensible by means of a key, so that only an authorized recipient holding the matching key can reconvert it.

Firewall – A component of a network that prevents unauthorized users and/or data from getting in or out of the network, using rules to specify acceptable communication

HMIS – The acronym for Homeless Management Information Systems, sometimes also referred to as HIMS or Homeless Information Management System.

HUD – The acronym for the Department of Housing and Urban Development.

Legacy Data – Information stored in an older version of software or format that is not compatible with the HMIS system.

Clarity Human Services– The name of the software application that being used for the Nevada HMIS.

Clarity System – The name that has been given to our implementation of an HMIS system.
MOU – The acronym for Memorandum of Understanding. A document that outlines the specific areas of agreement between two or more parties.

Organization - A group of people identified by shared interests or purpose.

PPI – The acronym for Protected Personal Information.

Program – A collection of services grouped together.

ROI – The acronym for Release of Information.

Service - The system or operation by which people are provided with something.

VPN – The acronym for Virtual Private Network. A way for securely connecting systems together to transmit data.
EXHIBIT I

HMIS Data Quality Plan

>>PLEASE SEE FOLLOWING PAGES<<
Purpose: The purposes of this HMIS Data Quality Plan are as follows:

- Identify the responsibilities of all parties within the CoC that affect data quality.
- Establish specific data quality benchmarks for timeliness, completeness, and accuracy.
- Describe the procedures that the HMIS Lead Agency will take to implement the plan and monitor progress to meet data quality benchmarks.
- Establish a timeframe for implementing the plan to monitor the quality of data on a regular basis
- In accordance with the HMIS standards outlined by the U.S. Department of Housing and Urban Development, this Privacy plan will be reviewed and updated annually.
Introduction

Bitfocus Inc.

Bitfocus is a consultancy firm that provides the following HMIS Implementation services to the HMIS Lead Agency:

- HMIS Software and Server Administration
- Telephone Help Desk Support
- Ticket Support
- HMIS Implementation and Maintenance
- Remote Web Based and On-Site Training
- Remote Web Based and On-Site Technical Assistance
- Training Manual and Procedural Documentation
- Custom Report Writing
- Data Warehouse Development and Administration
- HMIS Working Group Meeting engagement
- Planning and Policy Making
- AHAR, APR, and QPR support

Bitfocus Inc. provides HMIS Administration services for:

- SANTA CLARA COUNTY CoC

The Clarity Human Services HMIS Application

The Clarity Human Services HMIS Application is a cloud-based system that offers a comprehensive and end-user adjustable HMIS solution to meet the multiple integration, implementation, and management requirements of the Santa Clara County Continuum of Care.

General Description of HMIS Information Sensitivity

Clarity Human Services HMIS application stores and protects confidential individually identifiable health information. As such, it is equipped with a series of administrative, physical, and technical safeguards for covered entities and their business associates to
use to assure the confidentiality, integrity, and availability of electronic protected health information.

**Definition of Data Quality**

Data Quality is defined as the reliability and validity of client-level data collected in the HMIS.

**General Description of Information Sensitivity**

Clarity Human Services HMIS application stores and protects confidential individually identifiable health information. As such it is equipped with a series of administrative, physical, and technical safeguards for covered entities and their business associates to use to assure the confidentiality, integrity, and availability of electronic protected health information.

**Applicable Laws Or Regulations Affecting The System**

**HMIS Data Standards Revised Notice, U.S. Department of Housing and Urban Development, March 2010**

In 2004, HUD published HMIS Data and Technical Standards in the Federal Register. These standards define the requirements for data collection, privacy safeguards, and security controls for all local HMIS. In March 2010, HUD published changes in the HMIS Data Standards Revised Notice incorporating additional data collection requirements for the Homelessness Prevention and Rapid Re-Housing Program (HPRP) funded under the American Recovery and Reinvestment Act (ARRA).

Bitfocus, Inc. implements a formal procedure to monitor the ongoing quality of the data entered into the HMIS. All HMIS operations remain in accordance with the most current HMIS Systems requirements as prescribed by HUD.

**Data Quality Enforcement**
Bitfocus enforces a Data Collection Commitment which states that participation in the HMIS requires that all participating agencies collect minimum data elements on all consenting clients in accordance with HUD requirements.

**Data Entry Timeliness**

Client information, including intake data, program entry dates, services provided, and program exit dates are entered into the HMIS within a reasonable period of time.

To reduce human error that occurs when too much time has elapsed between the data collection (or service transaction) and the data entry, Bitfocus requires participating agencies to specify a reasonable and effective period of time within which data must be entered after interview/intake. These timeframes are dependent upon agency and program type (i.e. Emergency Shelter, Transitional Housing, Permanent Housing, Safe Haven, Outreach, Prevention, HPRP, or any other programs in the CoC).

Bitfocus participating agencies have designated benchmarks for the following program types:

- **Emergency Shelter programs:** All Universal Data Elements entered within a specified period of days from intake.
- **Transitional Housing:** All Universal and Program-Specific Data Elements entered within a specified period of days from intake.
- **Permanent Housing:** All Universal and Program-Specific Data Elements entered within a specified period of days from intake.
- **Outreach programs:** Limited data elements entered within a specified period of days from the first outreach encounter. Upon engagement for services, all remaining Universal Data Elements entered within a specified period of days.
- **HPRP and Prevention programs:** All Universal and Program Specific Data Elements entered within a specified period of days from intake.

**Data Completeness & Accuracy**

All clients receiving services are entered into the HMIS, and all of the appropriate data elements are collected and entered into the HMIS.

All HMIS data accurately and consistently matches information recorded on paper intake forms and in client files, and HMIS data elements are collected in a consistent manner.

Clarity Human Services HMIS is specifically designed with data quality safeguard programming that requires 100% data completion for all clients entered, for each of the HUD data element sets, as well as bed utilization rates.
This 100% data completion facilitates confident reporting and analysis on the nature and extent of homelessness, such as:

- Unduplicated counts of clients served at the local level;
- Patterns of use of people entering and exiting the homeless assistance system
- Evaluation of the effectiveness of homeless systems

It is vital that CoCs have a HMIS that complies with current HUD required Universal and Program Specific Data Elements. CoCs must also be equipped with a HMIS that can adapt to any future amendments to HUD standards and requirements. This type of preparedness requires a HMIS with highly customizable screens and data fields that can be quickly and seamlessly adapted to meet fluctuating standards and requirements. The Clarity Human Services Screen Designer, Field Editor, and Automated Email Reports equip System Administrators with the capacity to meet and adapt to all HUD requirements and standards.

Clarity Human Services incorporates advanced Data Quality mechanisms. These mechanisms allow automated oversight and seamless ease to correct Data Quality discrepancies based on our Data Quality Model.

Our Data Quality model is built around the following features:

- **Drill-down Reports:** All reports included in our standard report library allow drill-down functionality. For example, when reviewing a report, such as the Annual Performance Report, the value of “Don’t Know” may be set to 30. By simply clicking on the number “30” a sub-report will be immediately displayed identifying the clients with incorrect data. The selected clients can be immediately corrected, the APR run again, and the Annual Performance Report will display the updated corrections.

- **Automated Email Reports:** On a weekly or monthly basis, Our “Emailed Reports” can be automatically sent in PDF form to a recipient list of primary contacts or program managers at each participating agency. These reports provide Data Quality scoring on the Universal Data Elements down to the user/staff level.

- **Screen Designer tool:** Our screen designer tool can be incorporated to ensure the fields you would like to make ‘Required’ or ‘Soft Required’ provide the user with the proper feedback to ensure completion.

In addition, each agency must develop a written program specific interview guide that includes the minimal data elements and any additional elements the agency wishes to collect.
Bed Utilization: Clarity Human Services provides a comprehensive report titled the “Housing Census” Report. This report offers three tiers of drill-down functionality. When the report is processed, the initial parameters request which housing programs to include and the date range of observance. Upon processing of the report, a census of clients is presented for each day of the report. The date itself can then be selected to launch the sub-report detailing all clients represented on that given day. Each client name can then be selected to access the third tier of drill-down, highlighting any poor data quality elements.

These processes are the same across transitional housing and permanent housing, and are also the same for individual beds and units.

Data Quality Monitoring

The Santa Clara County CoC recognizes that the data produced from the Clarity Human Services HMIS is critical to meet the reporting and compliance requirements of individual agencies and the CoC as a whole. As such, all HMIS agencies are expected to meet specified data quality benchmarks. To achieve this, reporting and user feedback is used to quickly identify and resolve issues that affect the timeliness, completeness, and accuracy of the data.

Data Quality Adherence: Incentives and Enforcement

The purpose of monitoring is to ensure that the agreed-upon data quality benchmarks are met to the greatest possible extent and that data quality issues are quickly identified and resolved. To ensure that service providers have continued access to the expectations set forth in the data quality plan, the following protocol will be used:

1. Access to the Data Quality Plan: The data quality plan will be available to the general public.
2. Access to Data Quality Reports: The HMIS Lead Agency will make data quality reports available for the purposes of facilitating compliance review by participating agencies and the CoC Data Committee.
3. Data Correction: Participating agencies will have a specified period of days to correct data. The HMIS Lead Agency will make revised data quality reports available to the general public.
4. Monthly Review: The CoC Data Committee will review participating agency data quality reports for compliance with the data quality benchmarks. The Committee will work with participating agencies to identify training needs to improve data quality.

5. Public Review: The HMIS Lead Agency will make agency aggregate data quality reports available to the general public.

6. CoC Review: The CoC Data Committee will provide a brief update on progress related to the data quality benchmarks at the regularly scheduled CoC meetings.

For agencies that fail to meet the data quality benchmarks, the CoC may ask the agency to submit a written plan that details how they will take corrective action. The plan will be submitted to, and monitored by, the CoC’s Data Quality Subcommittee. Should the problem persist, the Data Quality Subcommittee may make a recommendation to suspend the agency’s ability to enter data into the HMIS, and will contact any appropriate state and federal funders.
EXHIBIT J

HMIS Privacy Plan

>>PLEASE SEE FOLLOWING PAGES<<
Purpose: The purposes of this HMIS Privacy Plan are as follows:

- Provide an overview of the privacy requirements of the Clarity Human Services HMIS application, and describe the controls in place or planned for meeting those requirements; and
- Delineate responsibilities and expected behavior of all individuals who access the system.

In accordance with the HMIS standards outlined by the U.S. Department of Housing and Urban Development, this Privacy Plan is to be reviewed and updated annually.
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Applicable Laws Or Regulations Affecting The System
The Health Insurance Portability and Accountability Act of 1996 (HIPAA)

HIPAA’s Privacy Rule states that “Individually Identifiable Health Information” is to be considered “protected health information” [PHI] subject to the review and control of individual patients. Agencies and other entities handling PHI are mandated to restrict access to such information to appropriate persons and protect the privacy of individuals. Clarity Human Services includes customization features at micro and macro levels to automate the enforcement of federal, state, and local privacy requirements such as HIPAA.

Clarity Human Services Security Tools enable each partner agency to define which client data is shared with other agencies at every level, including the field level. The default data sharing setup associated with each partner agency can be defined on an agency-by-agency basis (i.e., Agency A may share all client data with Agency B, nothing with Agency C, and only core ID data with Agency D). Our privacy settings can be adjusted to override the default privacy configuration of each agency upon the request of the client.

Bitfocus, Inc. can confirm the capacity of Clarity Human Services to both meet and surpass current HIPAA & HUD requirements and the pending updates to the these requirements.

Participation Requirements

For most efficient utilization of the services provided by the Clarity HMIS, several steps must be completed at the agency level before implementation can begin. Although the Clarity System Administrator can assist with most steps, agencies should be prepared to act without assistance. These steps include:

- Acquisition of High Speed Internet Connectivity with at least one static IP address
- Identification of an on-site Technical Administrator to serve as the primary contact, or the name of an outside contractor.
- Completed network and security assessment to comply with HUD HMIS Data Standard Regulations (4.3 – Security Standards), as published in the July 30, 2004 Federal Register.
- Signed Memorandum of Understanding.

Written procedures concerning client consent for release of information, client grievance procedures and interview protocols

Client Rights and Control
With limited exception, HIPAA vests the control of personal data to patients [e.g. clients]. Each individual patient has the right to review personal data, and to determine who can see these data. Clarity Human Services provides multiple options, including bio-metric technologies, to confirm client identity and to provide options for patients to review their own data. Clarity Human Services also has a Client Forms tool that stores data-sharing consent agreements, and enables authorized users to make client-specific adjustments for overriding general data-sharing settings to meet the specific requests of individual clients.

Documentation of Compliance

While not specified in the statute, organizations dealing with PHI must have the capacity to effectively and efficiently document their compliance with HIPAA. Clarity Human Services has multiple tools and features for documenting HIPAA compliance. A built-in Transaction Log records every change to client data. In addition, there is also an Access Tracking Tool, which displays users who have viewed a client record and when they viewed it. Finally, our reporting tools provide pre-designed and ad-hoc reports for reviewing the access and use of client data.

Identity Access Management

Clarity Human Services provides three standard authentication methods to ensure secure authentication, and other identification and access management functions, including:

A. Basic Authentication – User must provide login and complex password credentials.

B. IP Whitelist – User or Agency must access the system through a pre-approved list of IP Addresses.

C. Personal PKI Certificate – User or Agency must have a valid PKI certificate installed within their Browser to access the system. The system administrator can fully administer each method of authentication.

General Operational Controls

Written Client Consent Procedure for Data Entry

Agencies must obtain the client’s consent prior to entering information concerning a client into the system. If a client does not consent, services should not be denied to the client. The agency can use the anonymous client function in appropriate cases.
Confidentiality and Consent Forms

Agencies must use the forms approved by the Clarity Working Group. Agencies that share protected health information must have internal procedures for obtaining client consent prior to the sharing of this information.

Privacy Notice

Agencies must develop a privacy notice, and incorporate the Clarity Privacy Notice into its policies and procedures. In addition, HUD mandates that organizations develop policies and procedures to distribute privacy notices to their employees, which include having employees sign to acknowledge receipt of the notices.

Background Check Procedures

Each agency is responsible for conducting its standard background check for all users of the Clarity System.

Staff Confidentiality Agreements

Each agency must develop a procedure for informing staff of client confidentiality. All users of the system must have training prior to being authorized to use the system. In addition, all users of the system are required to attend Clarity confidentiality and privacy training each year.

Information Security Protocols

Internal policies must be developed at each participating agency to establish a process for the detection and prevention of a violation of any HMIS information security protocols.

Virus Prevention, Detection, and Disinfection Protocols

Participation in the HMIS requires that agencies develop procedures intended to assure that computers with access to the HMIS system run updated anti-virus software.

Security Training
User, Administrator and Security Training: Clarity Human Services has provided training to instruct the Clarity System Administrator in the proper procedures to supervise and maintain the operation of the HMIS. System Administration training has covered security, configuration and user customization.

Participating Agency Technical Administrator / Security Officer Training

Each agency participating in the Clarity System will have a Technical Administrator / Security Officer who will be the contact person for participation in the HMIS. Each organization participating in the Clarity System will have a representative participate in the Participating Agency Technical Administrator Training Program prior to system deployment at that agency. Refer to section 2.8 HMIS Software Training for details regarding responsibilities and duties of the Technical Administrator / Security Officer.

Training will take place in Santa Clara County and participants are not to exceed fifteen persons per training. These trainings will cover practical problem solving. Each agency’s Technical Administrator will learn how to adjust eligibility screens, identify service data that must be migrated to the HMIS, and how to track expenses and customize the system for his or her organization. Each Participating Agency Technical Administrator will have access to a master manual for program management and will be responsible for either copying or purchasing a copy in house for use at his or her organization. Upon conclusion of the training and prior to deployment, Technical Administrators will begin inputting their HMIS information, number of beds (if any), services, and contact information into the system.

End User Training

Bitfocus will provide training in the day-to-day use of the Clarity System. Training class size will be limited. Training will use an established demo database, and will cover the following topics: intake, assessment, information and referral, reports, and client tracking. Training on any agency-modified fields/screens will be the responsibility of the agency making the modification. Training requires an eight to twelve hour commitment over the course of two days.

User, Location, Physical and Data Access

Access Privileges to the Clarity System
Access to system resources will only be granted to agency staff that needs access in order to perform their jobs.

Access Levels for Clarity System Users

Each user of the system will be assigned an account that grants access to the specific system resources that he or she requires. A model of least-privilege is used; no user will be granted more than the least amount of privilege needed to perform his or her job.

Access to Data

All data collected by the Clarity System project will be categorized. Access to data sets, types of data, and all other information housed as part of the system is governed by policies approved by the HMIS Working Group and Bitfocus. Reproduction, distribution, destruction of and access to the data are based on the content of the data. At no time may identifying confidential data be distributed or accessible without the consent of the client.

Access to Client Paper Records

Agency users should not have greater access to client information through the Clarity System than is available through the agency’s paper files.

Physical Access Control

All equipment or media containing HMIS data must be physically controlled at the central site. Protection and destruction of data policies are outlined below. The building containing the central server is secured through locked key access. The room housing the central server has keyed entry with access to keys limited to: Clarity System Administrator, his or her supervisor and the HMIS Project Manager. Access to the central server room is limited to authorized personnel under supervision of the Clarity System Administrator or HMIS Project Manager. All guests will be required to sign in prior to entry. The sign in sheet will be stored and can be produced upon request. All media containing HMIS data will be stored in a fire-protected safe. When necessary, archived media will be destroyed through reformatting and destruction. All hard drive media, optical media and magnetic floppy media taken out of service will be disassembled and the platters physically destroyed.
System access over wired networks

Access to the HMIS system over any type of wireless network is discouraged. Wireless networks are more susceptible to unauthorized access than wired networks. If any type of wireless network is used, it must have at least 128-bit encryption. If 128-bit encryption is not available, each client workstation must have VPN client software installed.

Unique User ID and Password

Each user of the system must be individually and uniquely identified. Identification will be verified through a password. Users are not permitted to share their password or permit other users to log in to the system with their password. Passwords will be at least eight characters long and meet reasonable industry standard requirements. These requirements are:

3. Using a combination of at least 3 of the following:
   - Numbers
   - Lowercase letters
   - Capital letters
   - Special characters (e.g. ~ ! @ # $ % ^ & * ( ) _)
4. Not using, or including, the username, the HMIS name, or the HMIS vendor's name
5. Not consisting entirely of any word found in the common dictionary or any of the above spelled backwards

Written information specifically pertaining to user access (e.g., username and password) may not be stored or displayed in any publicly accessible location. Individual users will not be able to log on to more than one workstation at a time, or be able to log on to the network at more than one location at a time.

Right to Deny User and Participating Agencies’ Access

The Working Group has the right to suspend, limit or revoke the access of any agency or individual for violation of HMIS policies. Upon remedy of said violation, access rights may be reinstated. If privileges have not been reinstated, the person or agency can file an appeal to the HMIS Working Group for reinstatement.

Monitoring
Access to the system will be monitored. In addition, the Clarity System will maintain logs of all actions taken within the system including login transactions and detailed monitoring of user data transactions within the software. Bitfocus will use its best reasonable efforts to review logs on a regular basis. It is understood that agencies will cooperate with all monitoring requirements. All exceptions that show security policy violations will be investigated.

Data Integrity Controls

Access to the production data is restricted to essential system administrative staff only. Each staff that has access to production data is contracted to not alter or impact the data in any adverse way.

Data Release Protocols

Data Entry

Before any data will be entered into the system, the client must first consent to data entry and agree to what information can be entered into the Clarity System. Upon completion of the approved consent form, the service provider will only enter the information into the system that has been approved by the client. The Clarity System will assign the client a unique personal identifier. Service providers should note that services must not be contingent on a client consenting to data entry.

Anonymous Client Data Entry

In the event that a client does not want to have any of their information entered into HMIS, they will be entered as a “John/Jane Doe” and all of the information entered into the system fields will be zeros. The HMIS will assign them a unique personal identifier.

Sharing of Information

Clients must consent to the sharing of their information prior to allowing that information to be shared with participating agencies. In the event that the client agrees to have their information entered into the HMIS but does not agree to have it shared with other agencies, selecting the “Local Only” option available in the Clarity System will close the entire record.
Sharing of Protected Information

A separate Release of Information (ROI) indicating what information the client agrees to have shared with other participating agencies should be signed prior to sharing of any Protected Personal Information (PPI).

Printed Information

Printed records disclosed to the client or another party should indicate: the person and/or agency to whom the record is directed, the date, and the initials of the person making the disclosure.

Requests for HMIS Client Information

The agency must notify the HMIS Program Administrator within one working day when the agency receives a request from any individual or outside organization for client-identifying information.

Case Notes

It is understood that client case notes will not be shared, and that each agency will have the ability to enter its own private notes about a client.

The Release of Information (ROI) form will be a dated document that expires. The provider will only be able to access the information specified on the ROI that was entered into the system during the time the ROI was in effect. Also, the client can decide at any time that he or she wants to have their information closed, in full or in part, and/or client file deactivated.

Internal Operating Procedure

Computer Virus Prevention, Detection, and Disinfection

The Clarity System will be to incorporate and maintain updated virus protection from a reputable single source. Any and all viruses found will be quarantined and analyzed. If unrepairable, the virus will be deleted. Participating agencies are required to run and maintain their own anti-virus software from an approved source on all computers that have access to the HMIS system.
Operating System Updates

The HMIS system will be updated and patched within a reasonable time after review of the vendor’s release of updates and patches and approval by the system administrator.

Backup and Recovery

Backup will occur on a regular basis. Backup media will be stored in a fire-protected safe with the server. In addition, backups will be stored electronically, offsite. A backup of hardware and Clarity System software will be stored in an offsite location so that it will be available in the event of catastrophic failure.

Disaster Recovery Process

Disaster recovery processes will be reviewed as prescribed by HUD, and offsite and offsite systems will be checked for viability twice per year.

Community Reporting Process

At the direction of the Working Group, Bitfocus will publish community-wide aggregate reports on the clients in the HMIS system on a periodic basis. These report(s) will reflect raw, point-in-time data.

Termination of the HMIS system

In the event the Clarity HMIS ceases to exist, participating agencies will be notified and provided a reasonable time to access and save client data on those served by the respective agencies as well as statistical and frequency data from the entire system. Then, the information on the central server will be purged or stored. If the latter occurs, the data will remain in an encrypted and aggregate state.

Termination of Bitfocus as Program Administrator

In the event Bitfocus is no longer the program administrator, custodianship of the data on the HMIS system will be transferred to the HMIS Working Group or to a successor.
program administrator, and all participating agencies will be informed in a timely manner.

REPLACE - HMIS Privacy Notice

An individual has a right to adequate notice of the uses and disclosures of protected personal information that may be made by a participating agency and of the individual’s rights and the participating agency’s legal duties with respect to protected personal information. The notice should be prominently displayed in the program offices where intake occurs. The participating agency should promptly revise and redistribute its notice whenever there is a material substantive change to the permitted uses or disclosures, the individual’s rights, the Participating Agency’s legal duties, or other privacy practices stated in the notice. Participating agencies should maintain documentation of compliance with the notice requirements by retaining copies of the notices issued by them. A client has the right to obtain a paper copy of the notice from the participating agency upon request. An inmate does not have a right to notice, and the requirements of this notice do not apply to a correctional institution that is a Clarity System user.

Content of Notice: The Participating Agency must provide a notice that is written in plain language and that contains the elements required by this section. These elements are not exclusive, and either oral or written notice may inform the individual of the permitted uses of information. The following statement as a header or otherwise must be prominently displayed: “THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.”

A description of each of the purposes for which a participating agency is permitted or required by this notice to use or disclose protected personal information without the individual’s written consent or authorization. These include administrative, programmatic, and academic research purposes.

If a use or disclosure is prohibited or materially limited by other applicable law, the description of such use or disclosure must reflect the more stringent law.

A statement that consensual uses and disclosures will be made only with the individual’s written authorization and that the individual may revoke such authorization.

A statement of the individual’s rights with respect to protected personal information and a brief description of how the individual may exercise these rights.
A statement that the participating agency is required by law to maintain the privacy of protected personal information and to provide individuals with notice of its legal duties and privacy practices with respect to protected personal information.

A statement that the participating agency is required to comply with the terms of the notice currently in effect.

A statement that reserves the right to change the terms of the notice and to make the new notice provisions effective for all protected personal information. The statement must also describe how the agency will attempt to provide individuals with a revised notice.

A statement that individuals may complain to the participating agency if they believe their privacy rights have been violated.

A brief description of how the individual may file a complaint with the participating agency.

A statement that the individual will not be retaliated against for filing a complaint.

The name, or title, and telephone number of a person or office to contact for further information.

The date on which the notice is first in effect, which may not be earlier than the date on which the notice is printed or otherwise published

Guidelines on Removing Agencies or Users

Voluntary Removal

If an agency or user no longer wants to access the Clarity System, they simply need to contact Bitfocus and inform them of the decision. In the case of user removal, it is the relevant agency’s responsibility to contact Bitfocus in a timely fashion so the User ID can be deactivated to prevent unauthorized access to the system. An agency asking to be removed from the system understands the following:
1. The agency will receive one (1) copy of the data it has input into the Clarity System. This copy will be in a format determined by Bitfocus and approved by the Working Group. The agency will be given an appropriate description of the data format.
2. The data the agency enters into the system will remain in the system for the purposes of producing aggregate non-identifying reports. Client records will be marked as inactive, and not be available to be accessed. Any agency information will remain in the system, but will be marked as inactive.
3. The agency must return all hardware (firewalls, etc.) that are owned by Bitfocus.
4. Any fees paid for participation in the Clarity HMIS system will not be refunded.
5. The agency understands and accepts any ramifications for not participating in the Clarity System.

Involuntary Removal

It is vital for the Working Group and Bitfocus to provide a secure service for all users. Any action(s) that threaten the integrity of the system will not be tolerated.

1. Bitfocus reserves the right to modify, limit and/or suspend any user account at any time if there is a security risk to the system
2. Any improper use of the Clarity System is subject to immediate suspension of the user’s account. The penalties imposed on a user for improper system use will vary based on the level of the offense. Typically the user will receive a warning on the first offense. However, if the offense is severe enough, Bitfocus reserves the right to disable the account immediately and in extreme cases, may disable all users’ access by the agency in question.
3. Bitfocus will contact the organization within one business day of any suspension.
4. If a user’s account is suspended, only the director (or acting director) for an organization may request account re-activation. Suspended users may be required to attend additional training before having their access reinstated.
5. In the event that an agency is removed from the system they must submit a written request for reinstatement to the Working Group andBitfocus. If an agency is not reinstated into the system after review, the agency will be given one (1) copy of its data in a format that will be determined by Bitfocus and approved by the Working Group (the agency will also be provided with a description of the data format). Data will not be given to the agency until all hardware (firewalls, etc.) belonging to Bitfocus is returned. Any fees paid for participation in the Clarity System will not be returned.
6. All Clarity System users agree to waive and release any and all claims and expenses related to or arising from the user’s violation of this agreement against the Working Group, the employers of the respective members of the Working Group, Bitfocus, its officers, directors, shareholders, employees, agents, subsidiaries and affiliates.
Participation Security Standards

System/Data Security

In the event an agency becomes aware of a system security or client confidentiality breach, the executive director of the agency shall notify the HMIS Program Administrator of the breach within one business day.

HMIS Related Forms and Printed Material

Any HMIS forms or printed information obtained by an agency or user from the HMIS system must be destroyed in a manner that ensures client confidentiality will not be compromised.
Santa Clara HMIS
Standard Operating Procedures

Section 1: Contractual Requirements and Roles

Bitfocus, Inc. Contractual Requirements: Bitfocus, Inc. ("Bitfocus"), in its role as Santa Clara County HMIS ("SCC HMIS") Program Administrator, agrees to use its reasonable best efforts to provide all of the necessary equipment and staff to operate and maintain the central server. In addition, Bitfocus will use its reasonable best efforts to provide technical assistance as it pertains to software, hardware, and the use of the SCC HMIS to all participating housing and services providers (the “Partner Agencies” or “Participating Agencies”). Additional services may be provided on a case-by-case basis, as agreed upon by Bitfocus and a Participating Agency.

Central Server Requirements: Security of equipment and data is a priority for Bitfocus. These Standard Operating Procedures ("SOPs") outline the foundation for system security including the usage policy for access to the system, the data for export, import or data analysis needs, and physical system access, as well as the procedures for maintaining the system and data integrity.

SCC HMIS Working Group: The SCC HMIS has a working group (the “SCC HMIS Working Group,” or simply the “Working Group”) to govern the project. The group is composed of representatives of stakeholders. These include consumers, agencies funded by the U.S. Department of Housing and Urban Development ("HUD"), homeless services providers, local governments, and state government. Members of the SCC HMIS Working Group will be elected from time to time by majority vote of all its members. The procedures for the qualifications and meetings of members of the SCC HMIS Working Group, and related matters, shall be set forth in the by-laws of the SCC HMIS Working Group, which may be amended from time to time according to the terms therein.

Central Server Management: Management of an HMIS requires several skill sets. The
Working Group has identified the following roles to provide the best and most efficient service to SCC HMIS stakeholders:

- **Systems Administrator/Department Head**—assigns rights for users; merges duplicate files; manages maintenance reporting, backups, and security; updates policy and procedures; monitors login attempts; completes system updates; approves any changes to the system; conducts maintenance and disaster planning; and supervises personnel.
- **Report Writer/Technical Assistant/Help Desk Support**—assists in the design of reports as needed by Partner Agencies and community stakeholders; answers user questions; and assists users in resolving problems, going onsite if necessary to resolve hardware/software issues.

As the user base grows, it is understood that these positions and roles will be re-evaluated to meet the needs of stakeholders.

**New Sites Requirements:** Any agency wishing to participate in the SCC HMIS must assume a share of all operational and acquisition costs for hardware, software and technical assistance to support the operation and maintenance of the system. If Bitfocus is able to secure additional funding, these costs may be reduced or eliminated accordingly.

The roles of every Participating Agency are defined in order to prevent confusion regarding responsibilities and privileges. The following roles must be filled in order for an agency to begin working with the program:

- Participating Agency Director
- Participating Agency Technical Administrator
- Participating Agency Security Officer
- Participating Agency Intake Worker or Case Manager

In addition, some Participating Agencies may also have the following roles:

- Participating Agency Mental Health Worker
- Participating Agency Substance Abuse Counselor
Participating Agency Health Worker
Participating Agency User or End User
Participating Agency Data Analyst
Continuum of Care Representative

**Note: In some cases, more than one role will be assigned to the same individual.**

The *Participating Agency Director* has access to all files and data regarding all programs and services operated by his or her agency.

The *Participating Agency Technical Administrator* is able to edit, create, and append data for all programs and services operated by his or her agency; able to run reports regarding agency programs and services; and creates user accounts for his or her agency.

The *Participating Agency Security Officer* is able to conduct quarterly compliance reviews; able to ensure that all End Users sign and execute applicable End User Agreements; and ensures that all End Users complete required trainings.

The *Participating Agency Intake Worker* is able to create client files and run reports on his or her caseload only.

The *Participating Agency Case Manager* is able to create client files and run reports on his or her caseload only; able to update and append client records; and able to view sensitive portions of the record if the client has consented and signed a release.

The *Participating Agency Mental Health Worker* is able to create client files and run reports on his or her caseload only; able to update and append client records; and able to view sensitive portions of the record generated by Mental Health Workers in that agency.

The *Participating Agency Substance Abuse Counselor* is able to create client files and run reports on his or her caseload only; able to update and append client records; and able to view sensitive portions of the record generated by the counselor.
The Participating Agency Health Worker is able to create client files and run reports on his or her caseload only; able to update and append client records; and able to view sensitive portions of the record generated by the worker.

The Participating Agency User, End User, or Data Entry Worker is able to complete data entry only and will not be able to view information after the information has been entered.

The Participating Agency Data Analyst is able to view global reports regarding homeless persons in our community, demographics, service utilization, total statistics and numbers regarding persons in the system.

The Regional Homeless Coordinator is able to view aggregate-level reports regarding our community, demographics, service utilization, total statistics and numbers regarding data in the system.

All users of the system should recognize that rights are assigned on a need-to-know basis.

Section 2: Participation Requirements

Participation Requirements: For most efficient utilization of the services provided by the SCC HMIS, several steps must be completed at the agency level before implementation can begin. Although the Program Administrator can assist with most steps, agencies should be prepared to act without assistance. These steps include:

• Acquisition of High Speed Internet Connectivity with at least one static IP address;
• Identification of an on-site Technical Administrator to serve as the primary contact, or the name of an outside contractor;
• Completion of a network and security assessment to comply with the most recent versions of the U.S. Department of Housing and Urban Development’s (HUD’s) HMIS Data Standards Manual and HMIS Data Dictionary, or other applicable publications;
• Signing and executing a Privacy Agreement and Memorandum of Understanding or other applicable agreement(s); and
• Adopting written procedures concerning client consent for release of information, client grievance procedures, and interview protocols.

Implementation Requirements: Partner Agencies must generate documents that cover each of the following areas in order for implementation to begin.

Interagency Data Sharing Agreements: Partner Agencies that will be sharing client-specific records must agree in writing to uphold specified minimum standards of privacy protection.

Written Client Consent Procedure for Data Entry: Partner Agencies must obtain a client’s informed written consent prior to entering information concerning the client into the system. If a client does not consent, services should not be denied to the client. The agency can use the anonymous client function in appropriate cases.

Confidentiality and Consent Forms: Partner Agencies must use the forms approved by the SCC HMIS Working Group. Partner Agencies that share protected health information must have internal procedures for obtaining a client’s informed written consent prior to the sharing of this information.

Privacy Statement: Partner Agencies must adopt a Privacy Statement and incorporate it into their policies and procedures. In addition, HUD mandates that organizations develop policies and procedures for distributing privacy notices or statements to their employees, which include having employees sign to acknowledge receipt of such notices.

Interview Protocols: Each Participating Agency must develop a written program-specific interview guide that includes the minimal data elements and any additional elements the Partner Agency wishes to collect.
**Background Check Procedures:** Each Partner Agency is responsible for conducting its standard background check for all users of the SCC HMIS.

**Staff Confidentiality Agreements:** Each Partner Agency must develop a procedure for informing staff of client confidentiality. All users of the system must have training prior to being authorized to use the system. In addition, all users of the system are required to attend confidentiality and privacy training annually.

**Information Security Protocols:** Internal policies must be developed at each Participating Agency to establish a process for the detection and prevention of a violation of any SCC HMIS information security protocols.

**Virus Prevention, Detection, and Disinfection Protocols:** Participation in the SCC HMIS requires that Partner Agencies develop procedures intended to assure that computers with access to the SCC HMIS run updated anti-virus software.

**Data Collection Commitment:** Participation in the SCC HMIS requires that all Participating Agencies collect minimum data elements on all consenting clients in accordance with HUD requirements.

**Connectivity:** Once implementation has begun, each Participating Agency agrees to use its reasonable best efforts to maintain appropriate connectivity in order to continue participation.

**Maintenance of Onsite Computer Equipment:** Each Participating Agency agrees to use its reasonable best efforts to maintain computer equipment to the extent required to continue participation.

**Conversion of Legacy Data or Links to Other Systems:** Partner Agencies using other systems or desiring to have legacy data converted must provide resources and processes that enable conversion without cost to the SCC HMIS.

**Section 3: Training**
User, Administrator and Security Training: Clarity Human Services, a division of Bitfocus, has provided training to instruct the Program Administrator in the proper procedures to supervise and maintain the operation of the SCC HMIS. Program Administration training has covered security, configuration and user customization.

Participating Agency Technical Administrator and Security Officer Training: Each Participating Agency will have a Technical Administrator and Security Officer who will be the contact person for participation in the SCC HMIS. Each Participating Agency will have a representative participate in the training program for the Technical Administrator and Security Officer prior to system deployment at that agency. Training will take place in Santa Clara County, California, and participants are not to exceed fifteen persons per training. These trainings will cover practical problem solving. Each Participating Agency’s Technical Administrator and Security Officer will learn how to adjust eligibility screens, identify service data that must be migrated to the SCC HMIS, and track expenses and customize the system for his or her organization. Each Participating Agency Technical Administrator and Security Officer will have access to a master manual for program management and will be responsible for either copying or purchasing a copy in-house for use at his or her organization. Upon conclusion of the training and prior to deployment, the Technical Administrators and Security Officers will begin inputting their SCC HMIS information, including number of beds (if any), services, and contact information.

End User Training Schedule: Bitfocus will provide training in the day-to-day use of the SCC HMIS. Training class size will be limited. Training will use an established demo database, and it will cover the following topics: intake, assessment, information and referral, reports, and client tracking. Training on any agency-modified fields or screens will be the responsibility of the Partner Agency making the modification. Training requires an eight- to twelve-hour commitment over the course of two days.

Section 4: User, Location, Physical and Data Access

Access Privileges to the SCC HMIS: Access to system resources will only be granted to Participating Agency staff that need access in order to perform their duties.
Access Levels for SCC HMIS Users: Each user of the system will be assigned an account that grants access to the specific system resources that he or she requires. A model of least-privilege is used; no user will be granted more than the least amount of privilege needed to perform his or her duties.

Access to Data: All data collected by the SCC HMIS will be categorized. Access to data sets, types of data, and all other information housed as part of the SCC HMIS is governed by policies approved by the SCC HMIS Working Group and Bitfocus. Reproduction, distribution, destruction of, and access to the data are based on the content of the data. At no time may identifying confidential data be distributed or accessible without the consent of the client(s) in question.

Access to Client Paper Records: Participating Agency users should not have greater access to client information through the SCC HMIS than is available through the agency’s paper files.

Physical Access Control: All equipment or media containing SCC HMIS data must be physically controlled at the central site. Protection and destruction of data policies are outlined below. The building containing the central server is secured through locked key access. The room housing the central server has keyed entry with access to keys limited to: the Program Administrator, his or her supervisor and the SCC HMIS Project Manager. Access to the central server room is limited to authorized personnel under supervision of the Program Administrator or SCC HMIS Project Manager. All guests will be required to sign in prior to entry. The sign in sheet will be stored and can be produced upon request. All media containing SCC HMIS data will be stored in a fire-protected safe. When necessary, archived media will be destroyed through reformatting and destruction. All hard drive media, optical media, and magnetic floppy media taken out of service will be disassembled and the platters physically destroyed.

System access over wired networks: Access to the SCC HMIS over wired networks will be controlled using a hardware-based firewall and secure VPN connection. Each site will maintain a site-to-site VPN connection with a unique encryption key. While HUD does not specify specific parameters, Bitfocus will use its reasonable best efforts to use the highest level of security reasonably attainable between the SCC HMIS and Participating
Agencies. If a Participating Agency is not large enough to warrant a hardware-based firewall, each client workstation accessing the SCC HMIS will be required to have VPN client software installed.

System access over wireless networks: Access to the SCC HMIS over any type of wireless network is discouraged. Wireless networks are more susceptible to unauthorized access than wired networks. If any type of wireless network is used, it must have at least 128-bit encryption. If 128-bit encryption is not available, each client workstation must have VPN client software installed.

Unique User ID and Password: Each user of the system must be individually and uniquely identified. Identification will be verified through a password. Users are not permitted to share their password or permit other users to log in to the system with their password. Passwords will be at least eight characters long and meet reasonable industry standard requirements. These requirements are:

1) Using a combination of at least 3 of the following:
   a. Numbers;
   b. Lowercase letters;
   c. Capital letters; and
   d. Special characters (e.g. ~ ! @ # $ % ^ & * ( ) _);
2) Not using, or including, the username, the SCC HMIS name, or the SCC HMIS vendor’s name; and
3) Not consisting entirely of any word found in the common dictionary or any of the above spelled backwards.

Written information specifically pertaining to user access (i.e., username and password) may not be stored or displayed in any publicly accessible location. Individual users will not be able to log on to more than one workstation at a time, or be able to log on to the network at more than one location at a time.

Right to Deny User and Participating Agencies’ Access: The SCC HMIS Working Group has the right to suspend, limit, or revoke the access of any Partner Agency or individual for violation of SCC HMIS policies, including these SOPs. Upon remedy of a proven violation, access rights may be reinstated. If privileges have not been reinstated, the
Partner Agency or individual may file an appeal to the SCC HMIS Working Group for reinstatement.

Monitoring: Access to the SCC HMIS will be monitored. In addition, the SCC HMIS will maintain logs of all actions taken within the system, including login transactions and detailed monitoring of user data transactions within the software. Bitfocus will use its reasonable best efforts to review logs on a regular basis. It is understood that Participating Agencies will cooperate with all monitoring requirements. All exceptions that show security policy violations will be investigated.

Data Integrity Controls: Access to the production data is restricted to essential system administrative staff only. Each staff member that has access to production data is contracted not to alter or impact the data in any adverse way.

Section 5: Technical Support and System Availability

Planned Technical Support: Bitfocus will use its reasonable best efforts to offer technical support to all Participating Agencies. Support services of the SCC HMIS include: training, implementation support, report writing support, and process troubleshooting.

Participating Agency Service Requests: System administrative staff is only permitted to respond to service requests that are submitted in writing by the Participating Agency Executive Director or on-site Technical Administrator or Security Officer.

Rapid Response Technical Support: An emergency contact number will be provided for requests for service that require a rapid response (i.e., unable to access system). These service requests will be prioritized above other requests. Participating Agencies should plan accordingly.

Availability: The goal is to have the system available 24 hours a day, subject to scheduled outages for updating and maintenance. Bitfocus will use its reasonable best efforts to achieve a 99% uptime. On occasion, there will be planned system outages. Participating Agencies will be notified a minimum of 48 hours before a planned but
unscheduled outage is to occur. Bitfocus will use its reasonable best efforts to address unplanned interruptions within 24 hours, and agencies will be notified when the system becomes available.

**Section 6: Stages of Implementation**

**Stage 1 – Startup:** Partner Agencies must complete all MOUs, agreements, policies, and a technology assessment inventory, as well as create an organization and master account login.

**Stage 2 – Organization Data Entry:** Partner Agencies must define the organization and provide detailed descriptions of programs and eligibility, as well as make adjustments to intake screens and define development of workflow.

**Stage 3 – Initial System Rollout:** Partner Agencies must conduct privacy and confidentiality training for Technical Administrators, Security Officers, and other users; define users and responsibilities; and create individual staff accounts. SCC HMIS training will take place using a demonstration version of the software and data. This same version will be available for Partner Agencies to use for training. Real client data will **NEVER** be used for training purposes.

**Stage 4 – Client Data Entry:** Partner Agencies must begin entering client information into the SCC HMIS.

**Stage 5 – Client-Program Entry:** Partner Agencies must begin entering client use of their programs.

**Stage 6 – Case Management:** Partner Agencies may use the SCC HMIS as a case management tool in the day-to-day operation of the agencies if such agencies wish to do so.
Stage 7 – Program Management: Partner Agencies may use the SCC HMIS to track program performance on an agency level.

Section 7: Encryption Management

Encryption General: All information should be encrypted in the database per HUD standards. All connections to the SCC HMIS should be encrypted to HUD standards or higher. Encryption should be sufficient to prevent unauthorized personnel from accessing confidential information for any reason.

Encryption Management: In the event that system-wide data decryption becomes necessary, the SCC HMIS Working Group must obtain the written authorization of every Participating Agency’s Executive Director.

Section 8: Data Release Protocols

Data Entry: Before any data will be entered into the SCC HMIS, the client must first consent to data entry and agree to what information can be entered. Upon completion of the approved consent form, the Participating Agency will only enter the information into the system that has been approved by the client. The SCC HMIS will assign the client a unique personal identifier. Participating Agencies should note that services must not be contingent on a client consenting to data entry.

Anonymous Client Data Entry: In the event that a client does not want to have any of his or her information entered into the SCC HMIS, he or she will be entered as a “John Doe” or “Jane Doe,” and all of the information entered into the system fields will be zeros. The SCC HMIS will assign them a unique personal identifier.

Sharing of Information: Clients must consent to the sharing of their information prior to allowing that information to be shared with Participating Agencies. In the event that the client agrees to have his or her information entered into the SCC HMIS but does not agree to have it shared with other Participating Agencies, selecting the “Local Only” option available in the SCC HMIS will close the entire record.
Sharing Protected Information: A separate Client Consent to Data Collection and Release of Information indicating what information the client agrees to have shared with other participating agencies should be signed prior to sharing of any Protected Personal Information ("PPI") including identifying information (such as your name, birth date, gender, race, social security number, phone number, residence address, photographic likeness, and other similar identifying information) and financial information (such as your employment status, income verification, public assistance payments or allowances, food stamp allotments, and other similar financial information).

Printed Information: Printed records disclosed to the client or another party should indicate the identity of the individual or agency to whom the record is directed, the date, and the initials of the person making the disclosure.

Requests for SCC HMIS Client Information: The Participating Agency must notify the SCC HMIS Program Administrator within one working day when the Participating Agency receives a request from any individual or outside agency for client-identifying information.

Case Notes: It is understood that client case notes will not be shared, and that each Participating Agency will have the ability to enter its own private notes about a client.

The Client Consent to Data Collection and Release of Information form will be a dated document with a defined term. The Participating Agency will only be able to access the information specified on the form that was entered into the system during the time the form was in effect. Also, the client can revoke his or her consent at any time, in full or in part, by signing a Client Revocation of Consent form.

Section 9: Internal Operating Procedures

Computer Virus Prevention, Detection, and Disinfection: The goal of the SCC HMIS will be to incorporate and maintain updated virus protection from a reputable single source. Any and all viruses found will be quarantined and analyzed. If irreparable, the virus will be deleted. Participating agencies are required to run and maintain their own antivirus
software from an approved source on all computers that have access to the SCC HMIS system.

Operating System Updates: The goal will be to update or patch the SCC HMIS within a reasonable time after review of the vendor’s release of updates and patches and approval by the system administrator.

Backup and Recovery: The goal will be to back up the SCC HMIS on a daily basis. Backup media will be stored in a fire-protected safe with the server. In addition, backups will be stored electronically offsite. A backup of hardware and SCC HMIS software will be stored in an offsite location so that it will be available in the event of a catastrophic failure.

Disaster Recovery Process: The goal will be to review disaster recovery processes and check offsite systems for viability twice per year.

Community Reporting Process: At the direction of the SCC HMIS Working Group, Bitfocus will publish community-wide aggregate reports on the clients in the SCC HMIS on a periodic basis. These report(s) will reflect raw, point-in-time data.

Termination of the HMIS system: In the event the SCC HMIS terminates, Participating Agencies will be notified and provided a reasonable period of time to access and save client data as well as statistical and frequency data from the entire system. Then, the information on the central server will be purged or stored. If the latter occurs, the data will remain in an encrypted and aggregate state.

Termination of Bitfocus as Program Administrator: In the event Bitfocus is terminated as the Program Administrator, custodianship of the data on the SCC HMIS will be transferred to the SCC HMIS Working Group or to a successor Program Administrator, and all Participating Agencies will be informed in a timely manner.
**Section 10: SCC HMIS Client Grievance Procedures**

If a client has any issue with the SCC HMIS at a particular Participating Agency, the client should work with that agency to resolve the issue.

If the problem is still not resolved to the client’s satisfaction, the client can follow the Participating Agency’s grievance procedures or request an grievance form available on the Bitfocus website. Specific instructions are listed on the form.

Bitfocus will receive the submitted form and distribute copies to all SCC HMIS Working Group members. The SCC HMIS Working Group will be notified of all grievances received. Bitfocus will use its reasonable best efforts to investigate the issue and will inform the SCC HMIS Working Group of the results.

If the issue is not system related, the SCC HMIS Working Group will recommend the best course of action to handle the grievance.

Any material change(s) resulting from a grievance (system-related or not) will require approval from the SCC HMIS Working Group.

**Section 11: SCC HMIS Privacy Statement**

An individual has a right to adequate notice of a Participating Agency’s use and release of PPI and of the individual’s rights, and the Participating Agency’s legal duties, with respect to PPI. The Privacy Statement should be prominently displayed or distributed in the program offices where intake occurs. The Participating Agency should promptly revise and redistribute the Privacy Statement whenever there is a material substantive change to the permitted uses or releases of information, the individual’s rights, the Participating Agency’s legal duties, or other privacy practices. Participating Agencies should maintain documentation of compliance with the Privacy Statement requirements by retaining copies of the Privacy Statements issued by them. A client has the right to obtain a paper copy of the Privacy Statement from the Participating Agency upon request.
Content of Privacy Statement: The Participating Agency must provide a Privacy Statement that is written in plain language and contains the elements required by this section. These elements are not exclusive, and either oral or written notice may inform the individual of the permitted uses and releases of information. The following, or a substantially similar, statement must be prominently displayed: “THIS NOTICE DESCRIBES HOW INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.”

- A description of each of the purposes for which a Participating Agency is permitted or required by this notice to use or release PPI without the individual’s written consent or authorization. These include administrative, programmatic, and academic research purposes.

- If a use or release of information is prohibited or materially limited by other applicable law, the description of such use or disclosure must reflect the more stringent law.

- A statement that consensual uses and disclosures will be made only with the individual’s written authorization and that the individual may revoke such authorization.

- A statement of the individual’s rights with respect to PPI and a brief description of how the individual may exercise these rights.

- A statement that the Participating Agency is required by law to maintain the privacy of PPI and to provide individuals with notice of its legal duties and privacy practices with respect to protected personal information.

- A statement that the Participating Agency is required to comply with the terms of the notice currently in effect.

- A statement that reserves the right to change the terms of the notice and to make the new notice provisions effective for all PPI. The statement must also
describe how the Participating Agency will attempt to provide individuals with a revised notice.

- A statement that individuals may complain to the Participating Agency if they believe their privacy rights have been violated.
- A brief description of how the individual may file a complaint with the Participating Agency.
- A statement that the individual will not be retaliated against for filing a complaint.
- The name, or title, and telephone number of a person or office to contact for further information.
- The date on which the notice is first in effect, which may not be earlier than the date on which the notice is printed or otherwise published.

*Section 12: Participation without using Clarity Human Services software (data feeding)*

If a Participating Agency wishes to participate in the SCC HMIS, but does not wish to use the Clarity Human Services software, the following additional guidelines must be met:

1) The Participating Agency understands that it is its responsibility to pay for any additional costs related to feeding data to the SCC HMIS;
2) The Participating Agency must be able to produce an extract file from its existing system;
3) The Participating Agency must be able to produce the extract file in a format specified by Bitfocus and approved by the SCC HMIS Working Group;
4) The Participating Agency understands that the extract format will most likely change in the future (one of the main reasons for the file format change is that there is a movement underway to standardize the SCC HMIS import file formats);
5) The Participating Agency data imported into the SCC HMIS will be available only for the purpose of generating aggregate reports;  
6) If, at a later date, a Participating Agency chooses to use the Clarity Human Services software, the agency understands that its historical imported data will not be available; and  
7) Sections 1 – 8 of this document do not apply to Participating Agencies feeding data to the SCC HMIS system.

**Section 13: Sharing data among agencies**

If a Participating Agency wishes to share data through the SCC HMIS with one or more other agencies:

1) All agencies wishing to share data must meet with Bitfocus to discuss and address all details of data sharing (for example, what information is to be shared, the direction of sharing, etc.);  
2) A separate MOU must be created between Bitfocus and each agency that will participate in the inter-agency data sharing; and  
3) Participating Agencies must comply with Section 8 of this document (relating to obtaining clients’ permission to have their information shared).

**Section 14: User Meetings**

User meetings will be scheduled periodically with advance notice given via the SCC HMIS mailing list and posted on the Bitfocus website. The Bitfocus staff responsible for SCC HMIS matters should be available to confer with participating agencies via phone, e-mail, or in person.

While most meetings will be optional to attend, it may be necessary to request mandatory attendance at a particular meeting. If this becomes necessary, ample notice will be given.
Section 15: Guidelines on Removing Participating Agencies or Users

Voluntary Removal: If a Participating Agency or user no longer wants to access the SCC HMIS, they simply need to inform Bitfocus of such decision. In the case of user removal, it is the Participating Agency’s responsibility to contact Bitfocus in a timely manner so the User ID can be deactivated to prevent unauthorized access to the system. A Participating Agency requesting removal from the SCC HMIS understands the following:

1) The Participating Agency will receive one copy of the data it has input into the SCC HMIS. Such copy will be in a format determined by Bitfocus and approved by the SCC HMIS Working Group. The Participating Agency will be given an appropriate description of the data format.
2) The data the Participating Agency enters into the system will remain in the system for the purposes of producing aggregate non-identifying reports. Client records will be marked as inactive, and not be available to be accessed. Any Participating Agency information will remain in the system but will be marked as inactive.
3) The Participating Agency must return all hardware (firewalls, etc.) that is owned by Bitfocus.
4) Any fees paid for participation in the SCC HMIS will not be refunded.
5) The Participating Agency understands and accepts any ramifications of not participating in the SCC HMIS.

Involuntary Removal: It is vital for the SCC HMIS Working Group and Bitfocus to provide a secure service for all users. Any action(s) that threaten the integrity of the system will not be tolerated.

1) Bitfocus reserves the right to modify, limit, or suspend any user account at any time if there is a security risk to the system.
2) Any improper use of the SCC HMIS is subject to immediate suspension of the user’s account. The penalties imposed on a user for improper system use will vary based on the level of the offense. Typically the user will receive a warning upon the first offense. However, if the offense is severe enough, Bitfocus
reserves the right to disable the account immediately and, in extreme cases, to disable all users’ access at the Partner Agency in question.

3) Bitfocus will contact the Partner Agency within one business day of any such suspension.

4) If a user’s account is suspended, only the Director (or acting Director) for a Partner Agency may request account re-activation. Suspended users may be required to attend additional training before having their access reinstated.

5) In the event that a Partner Agency is removed from the system, it must submit a written request for reinstatement to the SCC HMIS Working Group and Bitfocus. If the Partner Agency is not reinstated into the system after review of its reinstatement request, the Partner Agency will be given one copy of its data in a format that will be determined by Bitfocus and approved by the SCC HMIS Working Group. (The Partner Agency will also be provided with a description of the data format.) Data will not be given to the Partner Agency until all hardware (firewalls, etc.) belonging to Bitfocus is returned. Any fees paid for participation in the SCC HMIS will not be returned.

Section 16: Additional Participation Standards

System/Data Security: In the event a Participating Agency becomes aware of a system security or client confidentiality breach, the Participating Agency’s Executive Director shall notify the HMIS Program Administrator of the breach within one business day.

SCC HMIS related forms and printed material: The Participating Agency agrees to maintain all Client Consent to Data Collection and Release of Information forms, and all Client Revocation of Consent forms, related to the SCC HMIS. This documentation may be requested by the SCC HMIS Working Group, Bitfocus, or its contractors for the purposes of periodic audits.

Destruction of SCC HMIS related printed material: Any SCC HMIS forms or printed information obtained by a Participating Agency or user from the SCC HMIS system must be destroyed in a manner that ensures client confidentiality will not be compromised.
The Santa Clara County Homeless Management Information System (“SCC HMIS”) is a shared database and software application which confidentially collects, uses, and shares client-level information related to homelessness in Santa Clara County. On behalf of the Santa Clara County Continuum of Care (“CoC”), SCC HMIS is administered by the County of Santa Clara (“County”) in a software application called Clarity Human Services (“Clarity”), a product of Bitfocus, Inc. (“Bitfocus”). The County also contracted Bitfocus to serve as the System Administrator for SCC HMIS.

This Partner Agency Privacy and Data Sharing Agreement (the “Agreement”), dated ______________, (the “Effective Date”), and entered into by and between the County and ______________ (the “Partner Agency,” or simply the “Agency”), governs access to and use of the SCC HMIS by the Partner Agency.

I. Introduction

Client information is collected in the SCC HMIS, and shared with housing and services providers (each, a “Partner Agency,” and collectively, the “Partner Agencies”), which include community based organizations and government agencies. Partner Agencies use the information in SCC HMIS to: improve housing and services quality; identify patterns and monitor trends over time; conduct needs assessments and prioritize services for certain homeless and low-income subpopulations; enhance inter-agency coordination; and monitor and report on the delivery, impact, and quality of housing and services.

Subject to the direction of the County, in its role as HMIS Lead, Bitfocus will act as the SCC HMIS System Administrator and Software as a Service (“SaaS”) provider, and will assume responsibility for overall project administration; hosting of the SCC HMIS technical infrastructure; and restricting or allowing access to the SCC HMIS to the Partner Agencies in accordance with the direction of the County.

II. Confidentiality

A. The Agency will comply with all applicable Federal and State confidentiality laws and regulations that protect client records, and the Agency will only enter information into the SCC HMIS and/or release confidential client records to authorized agents and representatives and with informed consent in a writing signed by the client, or the client’s guardian, unless otherwise provided for in the regulations or laws. For purposes of clarity, “client” refers to anyone who receives services from the Agency.
and “guardian” refers to one legally in charge of the affairs of a minor or of a person deemed incompetent. For convenience of reference, future references in this Agreement to a client include reference to any guardians of a client.

B. The Agency will comply with all state and federal laws regarding the privacy of medical, mental health, and substance abuse treatment information, including but not limited to the following:

1. The Health Insurance Portability and Accountability Act, 45 CFR Parts 160, 162, and 164 (“HIPAA”);
3. California Welfare and Institutions Code section 5328 et seq.;
4. California Evidence Code section 1010 et seq.; and

C. The Agency will provide a written explanation of the SCC HMIS to all clients and will provide all forms in English and any other languages provided by the County.

D. The Agency will not enter client information into the SCC HMIS unless it is necessary to effect the purposes described in Section I of this Agreement.

E. The Agency will not disclose any confidential information contained in the SCC HMIS to any participating Partner Agency, outside organization, or individual without (i) obtaining informed consent in a writing signed by the client and (ii) taking reasonable steps to ensure that Partner Agency authorized agents and representatives (each, an “SCC HMIS End User,” or simply an “End User”) have signed and executed applicable End User Agreements, unless otherwise permitted by relevant regulations or laws.

F. The Agency is encouraged to seek its own legal advice in the event that a non-participating agency (i.e., an agency that is not a participating Partner Agency) requests identifying confidential client information.

G. The Agency must maintain appropriate documentation of informed client consent, in writing and signed by each client, to participate in the SCC HMIS. Only the standard, County-issued Client Consent to Data Collection and Release of Information form may be used. All documentation must be provided to the County within ten (10) days upon request.

H. If a client does not consent in writing to the inclusion of even basic identifying client information and non-confidential service data into SCC HMIS, then such information cannot be entered into the SCC HMIS.

I. The Agency will use the Client Consent to Data Collection and Release of Information form, describing how client information may be collected, used, and released by the County and the CoC in the administration of the SCC HMIS. The
County, Bitfocus or their contractors may conduct periodic audits to monitor compliance with informed consent standards. However, Partner Agencies bear the primary responsibility for monitoring compliance with these standards.

J. The Agency will adopt the HMIS Client Grievance Procedures recommended by the County, or to add them as an addendum to its existing client grievance procedures.

K. The Agency will adopt the Privacy Statement recommended by County, or add the relevant terms to its existing privacy notice or statement, which describes policies and procedures for safeguarding confidential client information.

L. The Agency understands that provision of services by the Agency is not and cannot be contingent upon a client’s participation in the SCC HMIS, and that nothing in the County’s policies, procedures, forms, agreements, or other documentation shall be construed to require or imply otherwise.

M. Agency shall be responsible for complying with all SCC HMIS policies and procedures, and for establishing and maintaining an information security program that is designed to ensure the security and confidentiality of the data from SCC HMIS to which Agency has access. This includes protection against any anticipated threats or hazards to the security or integrity of SCC HMIS data, and protection against unauthorized access to or use of SCC HMIS Data that could result in substantial harm or inconvenience to County or any client or SCC HMIS user.

N. Agency shall take appropriate action to address any incident of unauthorized access to SCC HMIS, including addressing and/or remedying the issue that resulted in such unauthorized access, notifying County immediately of any incident of unauthorized access to County Data, or any other breach in the Agency’s security that materially affects County or SCC HMIS; and be responsible for ensuring compliance by its officers, employees, agents, and subcontractors with the confidentiality provisions hereof. Should confidential and/or legally protected County Data be divulged to unauthorized third parties, Agency shall be responsible for complying with all applicable federal and state laws and regulations and shall be solely responsible for the costs associated with any and all activities and actions required.

O. The Agency and Bitfocus, as SCC HMIS System Administrator, understand that they are custodians of data and not owners of data.

P. If this Agreement is terminated, the County and all participating Partner Agencies maintain their rights to the use of all client information previously entered into the SCC HMIS, subject to the terms of this Agreement and other applicable rules, regulations, and agreements.

Q. Upon any such termination of this Agreement, the Agency may request and receive one export copy of all data entered by it into the SCC HMIS from the Effective Date up to the date of termination. If such a copy is requested, the Partner Agency will be responsible for reimbursing the County for the costs associated with producing the report.
III. **Data Entry and/or Use**

A. The Agency will adopt and comply with the most recent versions of the HMIS Standard Operating Procedures and the HMIS Governance Charter recommended by the County.

B. If a client has previously provided written consent in a signed writing to one or more Partner Agencies to collect, use, and release her or his information, and the client subsequently chooses to revoke such consent from one or more such Agencies, the Agency to which such choice is expressed will immediately provide the written revocation of consent to Bitfocus at the following address:

   Bitfocus, Inc.
   ATTN: SCC HMIS
   9101 W. Sahara Ave. #105-158
   Las Vegas, NV 89117

   Consent may be revoked verbally for records pertaining to drug/alcohol treatment or mental health treatment. If consent is revoked verbally to the Agency, the Agency will inform Bitfocus of such revocation immediately.

   Partner Agencies understand that they are prohibited from penalizing or threatening to penalize clients for either revoking their previously provided written consent or requesting that their information be held in the strictest confidence.

C. The Agency will avoid any misrepresentations related to client information in the SCC HMIS (including, without limitation, that the Agency will ensure that its authorized agents and representatives will not purposefully enter inaccurate information on any records).

D. The Agency will enter data into the SCC HMIS in a consistent and timely manner.

E. Discriminatory comments based on race, ethnicity, ancestry, skin color, religion, sex, gender identity, sexual orientation, national origin, age, familial status, or disability are not permitted in the SCC HMIS and will subject a user or Agency to immediate suspension.

F. Offensive language and profanity are not permitted in the SCC HMIS.

G. The Agency will utilize the SCC HMIS for business purposes only, and specifically, to effect the purposes described in Section I of this Agreement.

H. The Agency will utilize the SCC HMIS as part of the CoC’s Coordinated Assessment system in accordance with the CoC’s Policies and Procedures. Use of SCC HMIS for Coordinated Assessment includes, but is not limited to, entering data from the triage assessment survey recommended by the County in order to place clients into the community queue for prioritization in housing programs, and accepting referrals for clients from the community queue.

I. The Agency recognizes the County as the HMIS Lead to be the decision-making and direction-setting authority regarding the SCC HMIS, including, without limitation, with regard to process updates, policy and practice guidelines, data analysis, and software or hardware upgrades.
J. The Agency will designate a staff member to attend SCC HMIS Agency Administrators meetings regularly, and the Agency understands that Bitfocus, as the agent of the County, will be responsible for coordinating SCC HMIS Agency Administrator activities subject to the direction of the County as the HMIS Lead.

K. The Agency may report non-identifying client information from SCC HMIS regarding the services provided by the Agency for funding, auditing, or planning purposes. If the Agency wishes to provide information from SCC HMIS beyond information related solely to services provided by the Agency, it must first inform and receive approval from the County as the HMIS lead.

L. The Agency will report only non-identifying information, and only information about services provided by the Agency, in response to requests from the SCC HMIS unless otherwise required by law. Any other requests for information from or related to HMIS should be sent to Bitfocus and the County.

M. The Agency will not use the SCC HMIS in violation of any federal or state law, including, but not limited to, copyright, trademark, and trade secret laws, as well as laws prohibiting the transmission of material which is threatening, harassing, or obscene.

N. The Agency will not use the SCC HMIS to defraud federal, state, or local governments, or individuals or agencies, or to conduct illegal activity.

O. The Agency will not share assigned passwords and access codes for the SCC HMIS with any Partner Agency or other entity or individual.

P. The Agency will exercise due diligence in its use of the SCC HMIS and will not take any action that results in the corruption of the SCC HMIS or the inappropriate release of client information, and the Agency expressly accepts responsibility for any liability and/or other damages its use of the SCC HMIS may cause to the County or clients.

Q. The Agency will not alter or over-write information entered by a Partner Agency with the exception of basic demographic information if that data has not been entered or was found to be incorrect.

R. The Agency will comply with the requirements of the most recent versions of the HMIS Data Standards Manual, HMIS Data Dictionary, and other HMIS regulations issued by the U.S. Department of Housing and Urban Development (“HUD”).

IV. **Technical Administrator and Security Officer**

A. The Agency will comply with the SCC HMIS Standard Operating Procedures and the SCC HMIS Security Plan. Each HMIS Partner Agency must also designate a technical administrator (the “Partner Agency Technical Administrator”) and a security officer (the “Partner Agency Security Officer”) to fulfill the responsibilities
detailed in the SCC HMIS Partner Agency Technical Administrator and Security Office Agreement.

B. The Partner Agency must perform a background check on any End User:
   1. Designated as a Partner Agency Technical Administrator,
   2. Designated as a Partner Agency Security Officer, or
   3. Granted administrator-level access in SCC HMIS.

Such background check must be completed and the results approved by the Partner Agency Executive Director before the End User is (i) granted with a Technical Administrator or Security Officer title, or both, as applicable, and (ii) granted administrator-level access in SCC HMIS. The results of the background check must be retained by the Partner Agency in the End User’s personnel file and must be provided to the County upon request.

V. Reports

A. The Agency understands that it will have full access to all identifying client information and statistical information it has entered into SCC HMIS and may have access to additional information on those clients entered by other Partner Agencies.

B. The Agency understands that access to information on clients it does not serve will be limited or unavailable.

C. The Agency understands that before non-client-identifying system-wide aggregate information collected by the SCC HMIS is released to participating Partner Agencies or to their auditors or funders, it must be authorized by the County as the HMIS Lead.

D. The Agency will annually provide a written report Bitfocus with up-to-date information on all current End Users, as well as the names of former End Users who no longer have access to the SCC HMIS.

VI. Insurance and Indemnification

A. The Agency will maintain insurance in accordance with the County’s standard insurance requirements set forth in Exhibit B-2, which is attached hereto and incorporated by this reference.

B. The Agency and the County each agree to defend, indemnify, and hold each other harmless from any claims or liability arising from the acts or omissions of the other, including any third-party claims arising from the acts or omissions of any officers, employees, agents, representatives, licensees, or clients of the other. The Agency will exercise due diligence in its use of the SCC HMIS and will not take any action that results in the corruption of the SCC HMIS or the inappropriate release of client information, and the Agency expressly accepts responsibility for any liability and/or other damages its use of the SSC HMIS may cause to the County or clients.
VII. Standard Terms and Conditions

A. This Agreement is the complete and exclusive statement of agreement between the parties, and it supersedes all prior agreements, oral or written, relating to the subject matter of this Agreement.

B. Neither party shall have the right to assign or transfer any rights or obligations under this Agreement without the prior written consent of the other party.

C. This Agreement shall remain in force until revoked in writing by either party with thirty (30) days' advance written notice. Notwithstanding the foregoing, if there is credible evidence regarding potential or actual breach of this Agreement and the nature of the breach threatens the integrity of the SCC HMIS, the County as the HMIS Lead will have the right to immediately suspend or restrict the access rights of the breaching party to the SCC HMIS pending investigation and resolution of the matter to the extent reasonably required to protect the integrity of the system.

D. This Agreement may be amended or modified only by a written agreement signed and executed by both parties.

E. This Agreement is made for the purpose of defining and setting forth the rights and responsibilities of the County as the HMIS Lead, Bitfocus as an agent of the County, and the Agency. It is made solely for the protection of the County, Bitfocus, the Agency, and their respective heirs, personal representatives, successors, and assigns. No other individual or entity shall have any rights of any nature under this Agreement or by reason hereof. Without limiting the generality of the preceding sentence, no End User of the SCC HMIS in her or his capacity as such and no current, former, or prospective client of any Partner Agency shall have any rights of any nature under this Agreement or by reason hereof.

F. Contractor and its employees, agents and subcontractors, shall comply with the County’s No-Smoking Policy, as set forth in the Board of Supervisors Policy Manual section 3.47 (as amended from time to time), which prohibits smoking: (1) at the Santa Clara Valley Medical Center Campus and all County-owned and operated health facilities, (2) within 30 feet surrounding County-owned buildings and leased buildings where the County is the sole occupant, and (3) in all County vehicles.

G. Unless otherwise prohibited by law or County policy, the parties agree that an electronic copy of a signed contract, or an electronically signed contract, has the same force and legal effect as a contract executed with an original ink signature. The term “electronic copy of a signed contract” refers to a transmission by facsimile, electronic mail, or other electronic means of a copy of an original signed contract in a portable document format. The term “electronically signed contract” means a contract that is executed by applying an electronic signature using technology approved by the County.
PARTNER AGENCY

BY: ________________________________ Date
[NAME, TITLE]

ADDRESS:

COUNTY OF SANTA CLARA

BY: ________________________________ Date
Ky Le
Director
Office of Supportive Housing

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: ________________________________ Date
Greta S. Hansen
Lead Deputy County Counsel
EXHIBIT B-2 (revised)

INSURANCE REQUIREMENTS FOR
STANDARD CONTRACTS ABOVE $100,000

Indemnity

The Contractor shall indemnify, defend, and hold harmless the County of Santa Clara (hereinafter "County"), its officers, agents and employees from any claim, liability, loss, injury or damage arising out of, or in connection with, performance of this Agreement by Contractor and/or its agents, employees or sub-contractors, excepting only loss, injury or damage caused by the sole negligence or willful misconduct of personnel employed by the County. It is the intent of the parties to this Agreement to provide the broadest possible coverage for the County. The Contractor shall reimburse the County for all costs, attorneys' fees, expenses and liabilities incurred with respect to any litigation in which the Contractor is obligated to indemnify, defend and hold harmless the County under this Agreement.

Insurance

Without limiting the Contractor's indemnification of the County, the Contractor shall provide and maintain at its own expense, during the term of this Agreement, or as may be further required herein, the following insurance coverages and provisions:

A. Evidence of Coverage

Prior to commencement of this Agreement, the Contractor shall provide a Certificate of Insurance certifying that coverage as required herein has been obtained. Individual endorsements executed by the insurance carrier shall accompany the certificate. In addition, a certified copy of the policy or policies shall be provided by the Contractor upon request.

This verification of coverage shall be sent to the requesting County department, unless otherwise directed. The Contractor shall not receive a Notice to Proceed with the work under the Agreement until it has obtained all insurance required and such insurance has been approved by the County. This approval of insurance shall neither relieve nor decrease the liability of the Contractor.

B. Qualifying Insurers

All coverages, except surety, shall be issued by companies which hold a current policy holder's alphabetic and financial size category rating of not less than A- V, according to the current Best's Key Rating Guide or a company of equal financial stability that is approved by the County's Insurance Manager.

C. Notice of Cancellation

Rev. 4/2002
EXHIBIT B-2 (revised)

All coverage as required herein shall not be canceled or changed so as to no longer meet the specified County insurance requirements without 30 days' prior written notice of such cancellation or change being delivered to the County of Santa Clara or their designated agent.

D. Insurance Required

1. **Commercial General Liability Insurance** - for bodily injury (including death) and property damage which provides limits as follows:
   a. Each occurrence - $1,000,000
   b. General aggregate - $2,000,000
   c. Products/Completed Operations aggregate - $2,000,000
   d. Personal Injury - $1,000,000

2. **General liability coverage shall include:**
   a. Premises and Operations
   b. Products/Completed
   c. Personal Injury liability
   d. Severability of interest

3. **General liability coverage shall include the following endorsement, a copy of which shall be provided to the County:**

   **Additional Insured Endorsement**, which shall read:

   “County of Santa Clara, and members of the Board of Supervisors of the County of Santa Clara, and the officers, agents, and employees of the County of Santa Clara, individually and collectively, as additional insureds.”

Insurance afforded by the additional insured endorsement shall apply as primary insurance, and other insurance maintained by the County of Santa Clara, its officers, agents, and employees shall be excess only and not contributing with insurance provided under this policy. Public Entities may also be added to the additional insured endorsement as applicable and the contractor shall be notified by the contracting department of these requirements.

Rev. 4/2002
EXHIBIT B-2 (revised)

4. **Automobile Liability Insurance**

For bodily injury (including death) and property damage which provides total limits of not less than one million dollars ($1,000,000) combined single limit per occurrence applicable to all owned, non-owned and hired vehicles.

4a. **Aircraft/Watercraft Liability Insurance** (Required if Contractor or any of its agents or subcontractors will operate aircraft or watercraft in the scope of the Agreement)

For bodily injury (including death) and property damage which provides total limits of not less than one million dollars ($1,000,000) combined single limit per occurrence applicable to all owned, non-owned and hired aircraft/watercraft.

5. **Workers' Compensation and Employer's Liability Insurance**

a. Statutory California Workers' Compensation coverage including broad form all-states coverage.

b. Employer's Liability coverage for not less than one million dollars ($1,000,000) per occurrence.

E. **Special Provisions**

The following provisions shall apply to this Agreement:

1. The foregoing requirements as to the types and limits of insurance coverage to be maintained by the Contractor and any approval of said insurance by the County or its insurance consultant(s) are not intended to and shall not in any manner limit or qualify the liabilities and obligations otherwise assumed by the Contractor pursuant to this Agreement, including but not limited to the provisions concerning indemnification.

2. The County acknowledges that some insurance requirements contained in this Agreement may be fulfilled by self-insurance on the part of the Contractor. However, this shall not in any way limit liabilities assumed by the Contractor under this Agreement. Any self-insurance shall be approved in writing by the County upon satisfactory evidence of financial capacity. Contractors obligation hereunder may be satisfied in whole or in part by adequately funded self-insurance programs or self-insurance retentions.

3. Should any of the work under this Agreement be sublet, the Contractor shall require each of its subcontractors of any tier to carry the aforementioned coverages, or Contractor may insure subcontractors under its own policies.

Rev. 4/2002
4. The County reserves the right to withhold payments to the Contractor in the event of material noncompliance with the insurance requirements outlined above.

F. Fidelity Bonds. (Required only if contractor will be receiving advanced funds or payments)

Before receiving compensation under this Agreement, Contractor will furnish County with evidence that all officials, employees, and agents handling or having access to funds received or disbursed under this Agreement, or authorized to sign or countersign checks, are covered by a BLANKET FIDELITY BOND in an amount of AT LEAST fifteen percent (15%) of the maximum financial obligation of the County cited herein. If such bond is canceled or reduced, Contractor will notify County immediately, and County may withhold further payment to Contractor until proper coverage has been obtained. Failure to give such notice may be cause for termination of this Agreement, at the option of County.
PARTNER AGENCY

BY: [NAME, TITLE]

Jan Peters
COO & Executive Vice President

DATE: 10.30.15

ADDRESS:

COUNTY OF SANTA CLARA

BY: Kyle

Director
Office of Supportive Housing

DATE: 11/17/2015

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen
Lead Deputy County Counsel

DATE: 

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE]

Beth Leary, Executive Director

Date

ADDRESS:

Family Supportive Housing

692 N. King Road

San Jose, CA 95133

COUNTY OF SANTA CLARA

BY: [Name]

Ky Le
Director
Office of Supportive Housing

Date

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: [Name]

Date

Greta S. Hansen
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE]  
David K. Minkel  
President & CEO  

ADDRESS:  
4139 N. White Rd.  
San Jose, CA 95127  

COUNTY OF SANTA CLARA

BY: Kyle  
Director  
Office of Supportive Housing  

ADDRESS:  
County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118

APPROVED AS TO FORM AND LEGALITY:

BY:  
Greta S. Hansen  
Lead Deputy County Counsel  

Date

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)  
Page 5 of 8
PARTNER AGENCY

BY: Chad Harris, Director of Essential Services  
[NAME, TITLE]  
9/28/15  

ADDRESS: 1381 South First Street  
San Jose, CA 95110

COUNTY OF SANTA CLARA

BY: Ky Le  
Director  
Office of Supportive Housing  

ADDRESS:

County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118  

Approved as to Form and Legality:

BY:  
Greta S. Hansen  
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE]  
Bruce Des, CEO

ADDRESS:
181 Constitution Drive
Menlo Park, CA 94025

COUNTY OF SANTA CLARA

BY: [Signature]  
Ky Le  
Director  
Office of Supportive Housing

ADDRESS:
County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118

Approved as to Form and Legality:

BY: [Signature]  
Greta S. Hansen  
Lead Deputy County Counsel

Date

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)  
Page 8 of 8
PARTNER AGENCY

BY: Maggie Williams, Chief Financial & Administrative Officer
   [NAME, TITLE] [10/2/15]

ADDRESS: Catholic Charities of Santa Clara County
          2625 Zanker Road
          San Jose, CA 95134

COUNTY OF SANTA CLARA

BY: Ky Le
     Director
     Office of Supportive Housing [11/7/2015]

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen [Date]
    Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14) Page 8 of 8
PARTNER AGENCY

BY: [NAME, TITLE]  

ADDRESS:  
950 West Julian St.  
San Jose, CA 95126

COUNTY OF SANTA CLARA

BY: Ky Le  
Director  
Office of Supportive Housing

ADDRESS:  
County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen  
Lead Deputy County Counsel

Date

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE] [01/15/2015]

ADDRESS:

COUNTY OF SANTA CLARA

BY: [Signature] [11/17/2015]

Kyen Le
Director
Office of Supportive Housing

ADDRESS:
County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen [Signature] [Date]
Lead Deputy County Counsel
PARTNER AGENCY

Cynthia A. Foley

BY: Cynthia Foley, Lt. Colonel
   Director of Women's Ministries
   Golden State Division

ADDRESS:

COUNTY OF SANTA CLARA

Ky Le
Director
Office of Supportive Housing

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen
   Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME TITLE]

[signature]

DATE: 9/24/15

ADDRESS: HomeFirst
507 Valley Way
Milpitas CA 95035

COUNTY OF SANTA CLARA

BY: [signature]

[Name]
Director
Office of Supportive Housing

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95119

Approved as to Form and Legality:

BY: [signature]

[Name]
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14) Page 8 of 8
PARTNER AGENCY

BY: [NAME, TITLE]  
10/2/15  
Date

ADDRESS: 10 KIRK AVE  
San Jose CA 95127

COUNTY OF SANTA CLARA

BY: Ky Le  
Date  
Kylene  
Director  
Office of Supportive Housing

ADDRESS:  
County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen  
Date  
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE]  
   Vivian Warn, Associate Director
   roadway services

ADDRESS:  
   40749 Freemont Blvd.
   Fremont, CA 94538

COUNTY OF SANTA CLARA

BY: Ky Le  
   Director
   Office of Supportive Housing

ADDRESS:
County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118

Approved as to Form and Legality:

BY:  
   Greta S. Hansen  
   Lead Deputy County Counsel

Date

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY:

NAME, TITLE

ADDRESS:

COUNTY OF SANTA CLARA

BY:

NAME

ADDRESS:

Approved as to Form and Legality:

BY:

NAME

ADDRESS:

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: Trish Dorsey
Vice President of Mission Services
1600 N. 7th Street
San Jose, CA 95112

ADDRESS:

COUNTY OF SANTA CLARA

BY: Kylie
Director
Office of Supportive Housing

ADDRESS:
County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen
Lead Deputy County Counsel

Date

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14) Page 8 of 8
PARTNER AGENCY

BY:       [NAME, TITLE]       9/22/15
          Marie Bernard, Executive Director

ADDRESS:

COUNTY OF SANTA CLARA

BY:       Ky Le      11/17/15
          Director
          Office of Supportive Housing

ADDRESS:
County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY:       Greta S. Hansen
          Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE]  

ADDRESS:  

COUNTY OF SANTA CLARA

BY: Ky Le
Director
Office of Supportive Housing

ADDRESS:
County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: Greta S. Hansen
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY: [NAME, TITLE]  
Date: 29 Oct. 2015

ADDRESS:

COUNTY OF SANTA CLARA

BY:  
Date: 11/7/2015

Ky Le  
Director  
Office of Supportive Housing

ADDRESS:  
County of Santa Clara  
Office of Supportive Housing  
3180 Newberry Drive, Suite 150  
San Jose, CA 95118

Approved as to Form and Legality:

BY:  
Date:  

Greta S. Hansen  
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)

Page 8 of 8
PARTNER AGENCY

BY: 
Dan Wu
Executive Director
Charities Housing

ADDRESS: 1400 Parkmoor Ave. #190
San Jose, CA 95126

9.30.2015

COUNTY OF SANTA CLARA

BY: 
Ky Le
Director
Office of Supportive Housing

ADDRESS:
County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

11.7.2015

Approved as to Form and Legality:

BY: 
Greta S. Hansen
Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)
PARTNER AGENCY

BY:

[NAME, TITLE]

EILEEN RICHARDSON
President + CEO

ADDRESS:

33 Encina Ave, Suite 103
Palo Alto, CA 94301

COUNTY OF SANTA CLARA

BY:

Ky Le
Director
Office of Supportive Housing

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY:

Greta S. Hansen
Lead Deputy County Counsel

Date: 10/13/15

Date: 11/7/2015

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14) Page 8 of 8
PARTNER AGENCY

BY: ____________________________  ____________________________
     [NAME, TITLE] FRED FERRER, CEO  Date: 9/27/15

ADDRESS:

COUNTY OF SANTA CLARA

BY: ____________________________  ____________________________
     Ky Le  Date: 11/17/2015
     Director
     Office of Supportive Housing

ADDRESS:

County of Santa Clara
Office of Supportive Housing
3180 Newberry Drive, Suite 150
San Jose, CA 95118

Approved as to Form and Legality:

BY: ____________________________  ____________________________
     Greta S. Hansen  Date
     Lead Deputy County Counsel

PARTNER AGENCY PRIVACY AGREEMENT (Version 2015-09-14)  Page 8 of 8
<table>
<thead>
<tr>
<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>PHA Administration Plan: Housing Authorities of the County of Santa Clara &amp; City of San Jose, Chapter 2, Revised 4/4/2017</td>
<td>1–6</td>
</tr>
<tr>
<td>o  Homeless preference for Housing</td>
<td>2</td>
</tr>
</tbody>
</table>
CHAPTER 2
WAITING LIST ADMINISTRATION

2.1 INTRODUCTION
This chapter describes the policies for completing registration for housing assistance, criteria related to placement on the waiting list and removal from the list, and limitations as to who may apply.

2.2 WAITING LIST: DIFFERENT PROGRAMS
24 CFR 982.205 (a) (1): “A PHA may merge the waiting list for tenant-based assistance with the PHA waiting list for admission to another assisted housing program...”

MTW Plan:
“[The HA will] continue to operate one combined waiting list for both the County of Santa Clara and the City of San José for the Housing Choice Voucher (HCV) Program and the Project-Based Voucher (PBV) Program.”

Policy:
Families who wish to apply for any one of the HA programs must complete a registration form when a waiting list is opened. Registration forms will be made available in an accessible format upon request from a person with a disability. The HA maintains three separate waiting lists:

- Section 8 Housing Choice Voucher
- Moderate Rehabilitation
- Project-Based Voucher Program

2.3 WAITING LIST: ADMINISTRATION OF WAITING LIST
24 CFR 982.204 (a): “Except for special admissions, participants must be selected from the PHA waiting list. The PHA must select participants from the waiting list in accordance with admission policies in the PHA administrative plan.”

Policy:
Families are given a position number and placed on the waiting list in an order determined by computerized random selection. The HA selects applicants from the 2006 waiting list based on their position number.
Mainstream turnover vouchers will be offered to eligible disabled families from the HCV waiting list.

2.4 WAITING LIST: LOCAL PREFERENCES

24 CFR 982.207 (a) (1): “The PHA may establish a system of local preferences for selection of families admitted to the program. PHA selection preferences must be described in the PHA administrative plan.”

MTW Plan:

“HACSC will explore various means to target increased assistance to the chronically homeless including... taking steps to provide vouchers to chronically homeless families that are actively participating in supportive programs with designated service providers.”

“Based on community need and subject to State and Federal Fair Housing laws and MTW statutory authorizations, HACSC may propose to receive direct referrals of chronically homeless families from non-profit agencies and community-based organizations.”

“With its Moving to Work (MTW) authority, and similar to activity 2009-5, which created a direct referral program for the chronically homeless, HACSC and designated community partners will target vouchers to [the] Special Needs Population (SNP) as follows: (1) HACSC will...determine program eligibility and provide rental assistance; (2) A community partner will provide referrals of clients to HACSC and case management to the designated SNP.”

Policy:

Based on the availability of voucher funding, the HA recognizes the following separate local preferences to its Section 8 Housing Choice Voucher Waiting List.

- Income-eligible families displaced as a result of a federally-declared disaster.

The HA will receive direct referrals of applicants from partnering agencies for the following programs as stipulated in HUD program regulations, or by an approved MTW activity. The applicants referred to these programs bypass the Section 8 Housing Choice Voucher or Project Based Voucher waiting list:

- Chronically Homeless Direct Referral (CHDR) Program
- Special Needs Population Direct Referral (SNDR) Program (serving persons with disabilities who experience multiple barriers to housing and who require intensive supportive services)
- Veterans Affairs Supportive Housing (VASH) Program
2.5 OPENING AND CLOSING THE WAITING LIST

24 CFR 982.206 (a) (1): “When the PHA opens a wait list, the PHA must give public notice that families may apply for tenant-based assistance. The public notice must state where and when to apply.”

Policy:

The HA will advertise through public notice in newspapers, minority publications and other media entities, and through mailings and/or presentations to community organizations including those organizations serving populations of persons with disabilities.

Information provided will include the address, telephone number, and website of the HA, how to submit the application form, and information on eligibility requirements.

The open period shall be long enough to achieve a waiting list adequate to cover projected turnover and new allocations.

The HA will open its Section 8 Housing Choice Voucher waiting list for the following populations in accordance with the Notice of Funding Availability Award instructions issued for these programs:

- Family Unification Program (FUP)- Families or youth referred by the Santa Clara County Department of Family and Children’s Services (DFCS) as FUP- eligible.
- Category 2 Non-Elderly Disabled (NED) Program- Non-elderly, disabled families referred by the Silicon Valley Independent Living Center and transitioning out of nursing homes or other health care institutions.

2.6 REMOVING APPLICANT NAMES FROM THE WAITING LIST

24 CFR 982.204 (c) (1): “The PHA administrative plan must state PHA policy on when applicant names may be removed from the waiting list. The policy may provide that the PHA will remove names of applicants who do not respond to PHA requests for information or updates.”

Policy:

The HA will make two attempts to notify applicants of assistance availability. The applicant may reschedule their appointment once (either the first or final appointment) by calling HA in advance of the appointment. If an applicant fails to respond within the specified timeframe or fails to attend their final appointment, the application will be canceled and withdrawn and the applicant will be notified in writing.
Applicants are required to respond to requests from the HA to update information on their registration and to confirm their continued interest in the program. If an applicant fails to respond within the specified timeframe, the application will be canceled and withdrawn and the applicant will be notified in writing.

The HA will make one attempt to notify applicants of an offer of a Project Based Voucher or Moderate Rehabilitation unit availability. If the applicant does not respond, or declines the offer, they will be withdrawn from the Project Based Voucher or Moderate Rehabilitation waiting list and notified in writing of the withdrawal.

2.7 REINSTATEMENT TO THE WAITING LIST

24 CFR 982.204 (c) (2): “If the applicant did not respond to the PHA request for information or updates because of the family member’s disability, the PHA must reinstate the applicant in the family’s former position on the waiting list.”

Policy:

The HA may reevaluate its decision to remove the applicant from the waiting list if the applicant family was unable to respond to the HA’s notices of assistance or declined an offer of an available Project Based Voucher or Moderate Rehabilitation unit due to:

- Homelessness,
- Hospitalization during the period outreach efforts were made,
- Disability, or
- Other mitigating circumstances, such as domestic violence.

Any of the above circumstances must be verified through independent sources, and applicable mitigating circumstances must be clearly demonstrated prior to evaluation for reinstatement. The HA will provide a written response specifying the outcome and final determination at the conclusion of its review.

If the request for reinstatement is approved, the cancelled application will be restored to its original placement of registration on the waiting list. If the request for reinstatement was not approved, the application remains cancelled.

2.8 SPECIAL ADMISSIONS (NON-WAITING LIST)

24 CFR 982.203 (a) (1) & (2): “If HUD awards a PHA program funding that is targeted for families living in specified units, the PHA must use the assistance for families living in these units. The PHA may admit a family that is not on the PHA waiting list or without considering the family’s waiting list position.”
Policy:
The following are examples of types of program funding that may be targeted for a family living in a specified unit:

- A family displaced because of demolition or disposition of a public housing project;
- A family residing in a multifamily rental housing project when HUD sells, forecloses or demolishes the project;
- For housing covered by the Low Income Housing Preservation and Resident Homeownership Act of 1990;
- A family residing in a project subject to a homeownership program (under 24 CFR 238.173);
- A family residing in a project covered by a project-based Section 8 HAP contract at or near the end of the HAP contract term;
- A non-purchasing family residing in a HOPE 1 or HOPE 2 project; and
- Very low income families who have been displaced due to a natural disaster, government or private actions. If a city or county is involved, a family may be eligible for admission to the program subject to a funding allocation.

2.9 OTHER HOUSING ASSISTANCE

24 CFR 982.205 (b) (1) & (2): “For the purposes of this section, ‘other housing subsidy’ means a housing subsidy other than assistance under the voucher program. Housing subsidy includes subsidy assistance under a federal housing program, a state housing program or a local housing program. The PHA may not take any of the following actions because an applicant has applied for, received or refused other housing assistance:

- Refuse to list the applicant on the PHA waiting list for tenant-based assistance;
- Deny any admission preference for which the applicant is currently qualified;
- Change the applicant’s place on the waiting list based on preference, date and time of application, or other factors affecting selection under the HA selection policy; or
- Remove applicant from the waiting list.”
**Policy:**

If an applicant has been issued a voucher or housed under the Housing Choice Voucher program, the HA will remove the applicant from the Project-Based Voucher and Moderate Rehabilitation assistance waiting lists.

If an applicant is housed under the Project Based Voucher program, the HA will remove the applicant from the Housing Choice Voucher and Moderate Rehabilitation assistance waiting lists.

If an applicant is withdrawn from the Project Based Voucher and or Moderate Rehabilitation assistance waiting lists, the HA will not remove the applicant from the Housing Choice Voucher waiting list.

If an applicant is withdrawn from the Housing Choice Voucher waiting list, the applicant will also be removed from the Project Based Voucher and Moderate Rehabilitation waiting lists, if applicable.
ATTACHMENT: FY 2017 CoC Competition Report

<table>
<thead>
<tr>
<th>DOCUMENT SATISFYING REQUIREMENT</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 HDX Competition Report</td>
<td>1-15</td>
</tr>
</tbody>
</table>
### Total Population PIT Count Data

<table>
<thead>
<tr>
<th></th>
<th>2016 PIT</th>
<th>2017 PIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count</td>
<td>6524</td>
<td>7394</td>
</tr>
<tr>
<td>Emergency Shelter Total</td>
<td>777</td>
<td>1,140</td>
</tr>
<tr>
<td>Safe Haven Total</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>Transitional Housing Total</td>
<td>1110</td>
<td>806</td>
</tr>
<tr>
<td>Total Sheltered Count</td>
<td>1897</td>
<td>1946</td>
</tr>
<tr>
<td>Total Unsheltered Count</td>
<td>4627</td>
<td>5448</td>
</tr>
</tbody>
</table>

### Chronically Homeless PIT Counts

<table>
<thead>
<tr>
<th></th>
<th>2016 PIT</th>
<th>2017 PIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count of Chronically Homeless Persons</td>
<td>2146</td>
<td>2097</td>
</tr>
<tr>
<td>Sheltered Count of Chronically Homeless Persons</td>
<td>128</td>
<td>302</td>
</tr>
<tr>
<td>Unsheltered Count of Chronically Homeless Persons</td>
<td>2018</td>
<td>1,795</td>
</tr>
</tbody>
</table>

### Homeless Households with Children PIT Counts

<table>
<thead>
<tr>
<th></th>
<th>2016 PIT</th>
<th>2017 PIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count of the Number of Homeless Households with Children</td>
<td>276</td>
<td>294</td>
</tr>
<tr>
<td>Sheltered Count of Homeless Households with Children</td>
<td>259</td>
<td>223</td>
</tr>
<tr>
<td>Unsheltered Count of Homeless Households with Children</td>
<td>17</td>
<td>71</td>
</tr>
</tbody>
</table>

### Homeless Veteran PIT Counts

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2016</th>
<th>2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count of the Number of Homeless Veterans</td>
<td>667</td>
<td>701</td>
<td>660</td>
</tr>
<tr>
<td>Sheltered Count of Homeless Veterans</td>
<td>152</td>
<td>255</td>
<td>208</td>
</tr>
<tr>
<td>Unsheltered Count of Homeless Veterans</td>
<td>515</td>
<td>446</td>
<td>452</td>
</tr>
</tbody>
</table>
### HMIS Bed Coverage Rate

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Total Beds in 2017 HIC</th>
<th>Total Beds in 2017 HIC Dedicated for DV</th>
<th>Total Beds in HMIS</th>
<th>HMIS Bed Coverage Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency Shelter (ES) Beds</td>
<td>654</td>
<td>59</td>
<td>595</td>
<td>100.00%</td>
</tr>
<tr>
<td>Safe Haven (SH) Beds</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>NA</td>
</tr>
<tr>
<td>Transitional Housing (TH) Beds</td>
<td>998</td>
<td>0</td>
<td>998</td>
<td>100.00%</td>
</tr>
<tr>
<td>Rapid Re-Housing (RRH) Beds</td>
<td>532</td>
<td>12</td>
<td>520</td>
<td>100.00%</td>
</tr>
<tr>
<td>Permanent Supportive Housing (PSH) Beds</td>
<td>4275</td>
<td>191</td>
<td>2698</td>
<td>66.06%</td>
</tr>
<tr>
<td>Other Permanent Housing (OPH) Beds</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>NA</td>
</tr>
<tr>
<td>Total Beds</td>
<td>6,459</td>
<td>262</td>
<td>4811</td>
<td>77.63%</td>
</tr>
</tbody>
</table>

### PSH Beds Dedicated to Persons Experiencing Chronic Homelessness

<table>
<thead>
<tr>
<th>Chronically Homeless Bed Counts</th>
<th>2016 HIC</th>
<th>2017 HIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of CoC Program and non-CoC Program funded PSH beds dedicated for use by chronically homeless persons identified on the HIC</td>
<td>1931</td>
<td>1867</td>
</tr>
</tbody>
</table>

### Rapid Rehousing (RRH) Units Dedicated to Persons in Household with Children

<table>
<thead>
<tr>
<th>Households with Children</th>
<th>2016 HIC</th>
<th>2017 HIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRH units available to serve families on the HIC</td>
<td>102</td>
<td>102</td>
</tr>
</tbody>
</table>
Rapid Rehousing Beds Dedicated to All Persons

<table>
<thead>
<tr>
<th>All Household Types</th>
<th>2016 HIC</th>
<th>2017 HIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRH beds available to serve all populations on the HIC</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>358</td>
<td>532</td>
</tr>
</tbody>
</table>
For each measure enter results in each table from the System Performance Measures report generated out of your CoCs HMIS System. There are seven performance measures. Each measure may have one or more “metrics” used to measure the system performance. Click through each tab above to enter FY2016 data for each measure and associated metrics.

RESUBMITTING FY2015 DATA: If you provided revised FY 2015 data, the original FY2015 submissions will be displayed for reference on each of the following screens, but will not be retained for analysis or review by HUD.
ERRORS AND WARNINGS: If data are uploaded that creates selected fatal errors, the HDX will prevent the CoC from submitting the System Performance Measures report. The CoC will need to review and correct the original HMIS data and generate a new HMIS report for submission.

Some validation checks will result in warnings that require explanation, but will not prevent submission. Users should enter a note of explanation for each validation warning received. To enter a note of explanation, move the cursor over the data entry field and click on the note box. Enter a note of explanation and “save” before closing.

Measure 1: Length of Time Persons Remain Homeless

This measures the number of clients active in the report date range across ES, SH (Metric 1.1) and then ES, SH and TH (Metric 1.2) along with their average and median length of time homeless. This includes time homeless during the report date range as well as prior to the report start date, going back no further than October, 1, 2012.

Metric 1.1: Change in the average and median length of time persons are homeless in ES and SH projects.
Metric 1.2: Change in the average and median length of time persons are homeless in ES, SH, and TH projects.

a. This measure is of the client’s entry, exit, and bed night dates strictly as entered in the HMIS system.
2017 HDX Competition Report
FY2016 - PerformanceMeasurement Module (Sys PM)

<table>
<thead>
<tr>
<th></th>
<th>Universe (Persons)</th>
<th>Average LOT Homeless (bed nights)</th>
<th>Median LOT Homeless (bed nights)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Persons in ES and SH</td>
<td>4951</td>
<td>4948</td>
<td>3737</td>
</tr>
<tr>
<td>1.2 Persons in ES, SH, and TH</td>
<td>6579</td>
<td>6084</td>
<td>5170</td>
</tr>
</tbody>
</table>

b.

This measure includes data from each client’s “Length of Time on Street, in an Emergency Shelter, or Safe Haven” (Data Standards element 3.17) response and prepends this answer to the client’s entry date effectively extending the client’s entry date backward in time. This “adjusted entry date” is then used in the calculations just as if it were the client’s actual entry date.

NOTE: Due to the data collection period for this year’s submission, the calculations for this metric are based on the data element 3.17 that was active in HMIS from 10/1/2015 to 9/30/2016. This measure and the calculation in the SPM specifications will be updated to reflect data element 3.917 in time for next year’s submission.
Measure 2: The Extent to which Persons who Exit Homelessness to Permanent Housing Destinations Return to Homelessness

This measures clients who exited SO, ES, TH, SH or PH to a permanent housing destination in the date range two years prior to the report date range. Of those clients, the measure reports on how many of them returned to homelessness as indicated in the HMIS for up to two years after their initial exit.

<table>
<thead>
<tr>
<th>Exit was from</th>
<th>Total # of Persons who Exited to a Permanent Housing Destination (2 Years Prior)</th>
<th>Returns to Homelessness in Less than 6 Months</th>
<th>Returns to Homelessness from 6 to 12 Months</th>
<th>Returns to Homelessness from 13 to 24 Months</th>
<th>Number of Returns in 2 Years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Revised FY2015</td>
<td># of Returns</td>
<td>Revised FY2015</td>
<td># of Returns</td>
<td>% of Returns</td>
</tr>
<tr>
<td>Exit from SO</td>
<td>17</td>
<td>13</td>
<td>6</td>
<td>1</td>
<td>8%</td>
</tr>
<tr>
<td>Exit from ES</td>
<td>845</td>
<td>752</td>
<td>122</td>
<td>103</td>
<td>14%</td>
</tr>
<tr>
<td>Exit from TH</td>
<td>383</td>
<td>434</td>
<td>21</td>
<td>37</td>
<td>9%</td>
</tr>
<tr>
<td>Exit from SH</td>
<td>2</td>
<td>6</td>
<td>2</td>
<td>1</td>
<td>17%</td>
</tr>
<tr>
<td>Exit from PH</td>
<td>263</td>
<td>267</td>
<td>9</td>
<td>13</td>
<td>5%</td>
</tr>
<tr>
<td>TOTAL Returns to Homelessness</td>
<td>1510</td>
<td>1472</td>
<td>160</td>
<td>155</td>
<td>11%</td>
</tr>
</tbody>
</table>

Measure 3: Number of Homeless Persons

Metric 3.1 – Change in PIT Counts
2017 HDX Competition Report
FY2016 - Performance Measurement Module (Sys PM)

This measures the change in PIT counts of sheltered and unsheltered homeless person as reported on the PIT (not from HMIS).

<table>
<thead>
<tr>
<th></th>
<th>2015 PIT Count</th>
<th>Most Recent PIT Count</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Total PIT Count of sheltered and unsheltered persons</td>
<td>6556</td>
<td>6524</td>
<td>-32</td>
</tr>
<tr>
<td>Emergency Shelter Total</td>
<td>807</td>
<td>777</td>
<td>-30</td>
</tr>
<tr>
<td>Safe Haven Total</td>
<td>9</td>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td>Transitional Housing Total</td>
<td>1113</td>
<td>1110</td>
<td>-3</td>
</tr>
<tr>
<td>Total Sheltered Count</td>
<td>1929</td>
<td>1897</td>
<td>-32</td>
</tr>
<tr>
<td>Unsheltered Count</td>
<td>4627</td>
<td>4627</td>
<td>0</td>
</tr>
</tbody>
</table>

Metric 3.2 – Change in Annual Counts

This measures the change in annual counts of sheltered homeless persons in HMIS.

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Unduplicated Total sheltered homeless persons</td>
<td>6672</td>
<td>6116</td>
<td>5235</td>
<td>-881</td>
</tr>
<tr>
<td>Emergency Shelter Total</td>
<td>5035</td>
<td>4984</td>
<td>3791</td>
<td>-1193</td>
</tr>
<tr>
<td>Safe Haven Total</td>
<td>26</td>
<td>26</td>
<td>22</td>
<td>-4</td>
</tr>
<tr>
<td>Transitional Housing Total</td>
<td>2161</td>
<td>1629</td>
<td>1792</td>
<td>163</td>
</tr>
</tbody>
</table>
## Measure 4: Employment and Income Growth for Homeless Persons in CoC Program-funded Projects

**Metric 4.1 – Change in earned income for adult system stayers during the reporting period**

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults (system stayers)</td>
<td>309</td>
<td>419</td>
<td>441</td>
<td>22</td>
</tr>
<tr>
<td>Number of adults with increased earned income</td>
<td>3</td>
<td>2</td>
<td>15</td>
<td>13</td>
</tr>
<tr>
<td>Percentage of adults who increased earned income</td>
<td>1%</td>
<td>0%</td>
<td>3%</td>
<td>3%</td>
</tr>
</tbody>
</table>

**Metric 4.2 – Change in non-employment cash income for adult system stayers during the reporting period**

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults (system stayers)</td>
<td>309</td>
<td>419</td>
<td>441</td>
<td>22</td>
</tr>
<tr>
<td>Number of adults with increased non-employment cash income</td>
<td>12</td>
<td>4</td>
<td>39</td>
<td>35</td>
</tr>
<tr>
<td>Percentage of adults who increased non-employment cash income</td>
<td>4%</td>
<td>1%</td>
<td>9%</td>
<td>8%</td>
</tr>
</tbody>
</table>

**Metric 4.3 – Change in total income for adult system stayers during the reporting period**

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults (system stayers)</td>
<td>309</td>
<td>419</td>
<td>441</td>
<td>22</td>
</tr>
<tr>
<td>Number of adults with increased total income</td>
<td>14</td>
<td>5</td>
<td>48</td>
<td>43</td>
</tr>
<tr>
<td>Percentage of adults who increased total income</td>
<td>5%</td>
<td>1%</td>
<td>11%</td>
<td>10%</td>
</tr>
</tbody>
</table>
### Metric 4.4 – Change in earned income for adult system leavers

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults who exited (system leavers)</td>
<td>311</td>
<td>433</td>
<td>386</td>
<td>-47</td>
</tr>
<tr>
<td>Number of adults who exited with increased earned income</td>
<td>65</td>
<td>85</td>
<td>114</td>
<td>29</td>
</tr>
<tr>
<td>Percentage of adults who increased earned income</td>
<td>21%</td>
<td>20%</td>
<td>30%</td>
<td>10%</td>
</tr>
</tbody>
</table>

### Metric 4.5 – Change in non-employment cash income for adult system leavers

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults who exited (system leavers)</td>
<td>311</td>
<td>433</td>
<td>386</td>
<td>-47</td>
</tr>
<tr>
<td>Number of adults who exited with increased non-employment cash income</td>
<td>38</td>
<td>65</td>
<td>54</td>
<td>-11</td>
</tr>
<tr>
<td>Percentage of adults who increased non-employment cash income</td>
<td>12%</td>
<td>15%</td>
<td>14%</td>
<td>-1%</td>
</tr>
</tbody>
</table>

### Metric 4.6 – Change in total income for adult system leavers

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults who exited (system leavers)</td>
<td>311</td>
<td>433</td>
<td>386</td>
<td>-47</td>
</tr>
<tr>
<td>Number of adults who exited with increased total income</td>
<td>90</td>
<td>131</td>
<td>143</td>
<td>12</td>
</tr>
<tr>
<td>Percentage of adults who increased total income</td>
<td>29%</td>
<td>30%</td>
<td>37%</td>
<td>7%</td>
</tr>
</tbody>
</table>
**Measure 5: Number of persons who become homeless for the 1st time**

Metric 5.1 – Change in the number of persons entering ES, SH, and TH projects with no prior enrollments in HMIS

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Person with entries into ES, SH or TH during the reporting period.</td>
<td>5567</td>
<td>5416</td>
<td>4354</td>
<td>-1062</td>
</tr>
<tr>
<td>Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.</td>
<td>1443</td>
<td>1850</td>
<td>1544</td>
<td>-306</td>
</tr>
<tr>
<td>Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time)</td>
<td>4124</td>
<td>3566</td>
<td>2810</td>
<td>-756</td>
</tr>
</tbody>
</table>

Metric 5.2 – Change in the number of persons entering ES, SH, TH, and PH projects with no prior enrollments in HMIS

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Person with entries into ES, SH, TH or PH during the reporting period.</td>
<td>6445</td>
<td>6361</td>
<td>5378</td>
<td>-983</td>
</tr>
<tr>
<td>Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.</td>
<td>1556</td>
<td>2064</td>
<td>1806</td>
<td>-258</td>
</tr>
<tr>
<td>Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time.)</td>
<td>4889</td>
<td>4297</td>
<td>3572</td>
<td>-725</td>
</tr>
</tbody>
</table>
Measure 6: Homeless Prevention and Housing Placement of Persons defined by category 3 of HUD’s Homeless Definition in CoC Program-funded Projects

This Measure is not applicable to CoCs in the FY2016 Resubmission reporting period.

Measure 7: Successful Placement from Street Outreach and Successful Placement in or Retention of Permanent Housing

Metric 7a.1 – Change in exits to permanent housing destinations

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Persons who exit Street Outreach</td>
<td>265</td>
<td>270</td>
<td>27</td>
<td>-243</td>
</tr>
<tr>
<td>Of persons above, those who exited to temporary &amp; some institutional destinations</td>
<td>3</td>
<td>3</td>
<td>1</td>
<td>-2</td>
</tr>
<tr>
<td>Of the persons above, those who exited to permanent housing destinations</td>
<td>13</td>
<td>15</td>
<td>9</td>
<td>-6</td>
</tr>
<tr>
<td>% Successful exits</td>
<td>6%</td>
<td>7%</td>
<td>37%</td>
<td>30%</td>
</tr>
</tbody>
</table>

Metric 7b.1 – Change in exits to permanent housing destinations
## FY2016 - Performance Measurement Module (Sys PM)

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Persons in ES, SH, TH and PH-RRH who exited</td>
<td>5632</td>
<td>5332</td>
<td>3739</td>
<td>-1593</td>
</tr>
<tr>
<td>Of the persons above, those who exited to permanent housing destinations</td>
<td>1370</td>
<td>1225</td>
<td>1627</td>
<td>402</td>
</tr>
<tr>
<td>% Successful exits</td>
<td>24%</td>
<td>23%</td>
<td>44%</td>
<td>21%</td>
</tr>
</tbody>
</table>

**Metric 7b.2 – Change in exit to or retention of permanent housing**

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2015</th>
<th>Revised FY2015</th>
<th>Current FY</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Persons in all PH projects except PH-RRH</td>
<td>1533</td>
<td>1451</td>
<td>1583</td>
<td>132</td>
</tr>
<tr>
<td>Of persons above, those who remained in applicable PH projects and those who exited to permanent housing destinations</td>
<td>1446</td>
<td>1387</td>
<td>1530</td>
<td>143</td>
</tr>
<tr>
<td>% Successful exits/retention</td>
<td>94%</td>
<td>96%</td>
<td>97%</td>
<td>1%</td>
</tr>
</tbody>
</table>
This is a new tab for FY 2016 submissions only. Submission must be performed manually (data cannot be uploaded). Data coverage and quality will allow HUD to better interpret your Sys PM submissions.

Your bed coverage data has been imported from the HIC module. The remainder of the data quality points should be pulled from data quality reports made available by your vendor according to the specifications provided in the HMIS Standard Reporting Terminology Glossary. You may need to run multiple reports into order to get data for each combination of year and project type.

You may enter a note about any field if you wish to provide an explanation about your data quality results. This is not required.
2017 HDX Competition Report
FY2016 - SysPM Data Quality

<table>
<thead>
<tr>
<th></th>
<th>All ES, SH</th>
<th>All TH</th>
<th>All PSH, OPH</th>
<th>All RRH</th>
<th>All Street Outreach</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of non-DV</td>
<td>555</td>
<td>532</td>
<td>569</td>
<td>585</td>
<td>1052</td>
</tr>
<tr>
<td>Beds on HIC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Number of HMIS</td>
<td>555</td>
<td>484</td>
<td>569</td>
<td>584</td>
<td>879</td>
</tr>
<tr>
<td>Beds</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. HMIS</td>
<td>100.00</td>
<td>90.98</td>
<td>100.00</td>
<td>99.83</td>
<td>83.56</td>
</tr>
<tr>
<td>Participation Rate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>from HIC (%)</td>
<td>100.00</td>
<td>90.98</td>
<td>100.00</td>
<td>99.83</td>
<td>83.56</td>
</tr>
<tr>
<td>4. Unduplicated</td>
<td>5476</td>
<td>5244</td>
<td>4993</td>
<td>3799</td>
<td>1391</td>
</tr>
<tr>
<td>Persons Served (HMIS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Total Leavers</td>
<td>5072</td>
<td>4922</td>
<td>4600</td>
<td>3029</td>
<td>656</td>
</tr>
<tr>
<td>(HMIS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Destination of</td>
<td>3262</td>
<td>2756</td>
<td>2365</td>
<td>1464</td>
<td>136</td>
</tr>
<tr>
<td>Don't Know,</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Refused, or Missing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(HMIS)</td>
<td>64.31</td>
<td>55.99</td>
<td>51.41</td>
<td>48.33</td>
<td>20.73</td>
</tr>
<tr>
<td>7. Destination Error</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rate (%)</td>
<td>64.31</td>
<td>55.99</td>
<td>51.41</td>
<td>48.33</td>
<td>20.73</td>
</tr>
</tbody>
</table>

9/5/2017 3:21:58 PM
## 2017 HDX Competition Report

### Date of PIT Count

| Date CoC Conducted 2017 PIT Count | 1/24/2017 |

### Report Submission Date in HDX

<table>
<thead>
<tr>
<th>Submitted On</th>
<th>Met Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 PIT Count Submittal Date</td>
<td>5/1/2017</td>
</tr>
<tr>
<td>2017 HIC Count Submittal Date</td>
<td>5/1/2017</td>
</tr>
<tr>
<td>2016 System PM Submittal Date</td>
<td>6/2/2017</td>
</tr>
</tbody>
</table>