



COUNTY OF  
SAN MATEO

DEPARTMENT  
OF HOUSING

264 Harbor Blvd.  
Bldg A

Belmont, CA 94002

TEL (650) 802-5050

FAX (650) 801-5049

[www.smchousing.org](http://www.smchousing.org)

**July 1, 2017 - June 30, 2018**

## **PROGRAM GUIDELINES**

**FOR FUNDING OF**

**CDBG & ESG**

## **GRANT-FUNDED COMMUNITY DEVELOPMENT ACTIVITIES**

- **Public Services/Shelter Services/  
Rapid Re-Housing**
- **Fair Housing**
- **Micro-Enterprise**
- **Minor Home Repair Programs**
- **State of California ESG Funds**

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## I. PROGRAM OVERVIEW

**Notice of Funding Availability (NOFA).** The County of San Mateo invites applications for community development activities under its FY 2017-18 Community Development Block Grant (CDBG) and ESG Programs. **Until Congress adopts a final budget, the total amount of funds to be available will not be known.** We are estimating an available amount based on 2016-17 funding that we will have approximately **\$953,463** to distribute. The timelines for the County's NOFA public participation and funding approval process can be found at [www.smchousing.org](http://www.smchousing.org).

**Funding Category 1: (San Mateo County CDBG/ESG).** This year, the funding will be broken down into the following distinct categories with specific funding allocations (the amounts shown reflect current funding levels; these amounts will be adjusted once the final allocations from HUD are determined and any reprogrammed and/or repayments have been ascertained):

<b>Funding Category 1 (San Mateo County CDBG/ESG)</b>	<b>Amount Available</b> (based on FY 15-16 availability)	<b>Source</b>
Minor Home Repair Programs	\$266,508	CDBG
Micro Enterprise/Economic Development	\$56,525	CDBG
Public Services/Core Services/Shelter Services	\$528,872	CDBG/ESG
Homeless Rapid Re-Housing	\$78,946	ESG
Fair Housing Programs	\$22,612	CDBG
<b>TOTAL (pending FY 2017-2018 HUD allocations)</b>	<b>\$953,463</b>	

### **Funding Category 2: (State of California ESG).**

The State of California Department of Housing and Community Development (HCD or Department) administers the Emergency Solutions Grants (ESG) program with funding received from the U.S. Department of Housing and Urban Development (HUD). The Federal ESG program provides funding to (1) engage homeless individuals and families living on the street; (2) improve the number and quality of emergency shelters for homeless individuals and families; (3) help operate these shelters; (4) provide essential services to shelter residents; and (5) prevent families/individuals from becoming homeless.

The State of California 2016-17 budget authorized funding for the new California Emergency Solutions Grants (CA ESG) program (SB 837 Section 72). The CA ESG program generally will be administered by the State of California HCD in a manner consistent with the Federal ESG program as listed above, and in addition, the CA ESG program may facilitate technical assistance activities to improve the capacity of grantees and the Continuum of Care to end homelessness.

Under State Regulation 8403(i), San Mateo County is required to award no less than 40% of available ESG funding to Rapid Rehousing.

The target population for ESG funding are homeless families with children and homeless individuals without children, and also includes people who are disabled, have no income or low levels of income, who may have evictions, criminal convictions, substance use or abuse issues, mental and physical mental health challenges, and/or other barriers to housing. The identified provider(s) must accept referrals following the process established by the County's Human Services Agency, including participation in and receiving referrals only from the County's Coordinated Entry System (CES), which is currently in development.

<b>Funding Category 2 (State of California ESG)</b>	<b>Amount Available (based on State Allocation Estimates)</b>	<b>Source</b>
Rapid Re-Housing	\$77,837	State ESG (federal)
Rapid Re-Housing	\$181,015	State ESG (state)
Shelter Operations/Shelter Development, Expansion or Upgrade	\$116,755	State ESG (federal)
Shelter Operations/Shelter Development, Expansion or Upgrade	\$271,523	State ESG (state)
<b>TOTAL (pending State of California allocations)</b>	<b>\$647,130</b>	

**PLEASE NOTE:** ESG funding awards will be made as either a two- or three-year allocation, pending final ESG Program Guidelines to be released by the State of California HCD in spring 2017. ESG funds are anticipated to be made available no earlier than October 1, 2017.

**Minimum contract amount:** No contract will be awarded for less than \$25,000.

**Two-Year Contract Terms (San Mateo County CDBG/ESG):** FY 2017-2018 is the second year of a two-year contract period for CDBG and ESG Awards. County policy is to prepare two-year funding contracts, with the second year funding subject to availability of funds and satisfactory performance of subrecipient meeting performance goals. Funding for the second year is generally intended to be the same as the first year.

***This does not apply to State ESG funds which will be awarded for either a two- or three-year period, pending the release of the ESG Program Guidelines to be released by the State of California HCD in Spring 2017.***

**Applicant requirements.**

- Applicants must be an eligible City, a County or other public agency, or a qualified 501(c) (3) or (c) (4) non-profit organization.
- All applicants must submit the most recent certified financial audit of their organization including any management letters.
- Non-profit organizations must submit evidence of current nonprofit status and an up-to-date roster of their Board of Directors. is This

**Application Deadline.** Complete application packets must be received by the Department of Housing, 264 Harbor Blvd., Bldg A, Belmont, CA 94002 no later than:

**Friday, January 27, 2017 at 5:00 PM.**

**NOTE: Late or incomplete applications will not be considered for funding. No Exceptions.**

**Funding Availability.** July 1, 2017 is the earliest that you can access FY 2017-2018 funding, subject to an executed funding agreement has been executed between your agency and the County after all HUD requirements have been met.

**State ESG Funding Availability.** October 1, 2017 is the earliest that you can access State ESG funding, subject to an executed funding agreement between your agency and the County after all HUD and State of California requirements have been met.

**Application Review and Approval Process.** Applications will be reviewed by County staff against priorities and criteria described in more detail in Section VI of this NOFA. Staff will formulate preliminary recommendations to be presented to the Housing & Community Development Committee (HCDC), an advisory body to the County Board of Supervisors.

A Public Hearing will be held on **Thursday, March 23, 2017** by the HCDC. Applicants will present their application at this public hearing and answer any questions. After hearing from all the applicants, the HCDC will formulate funding recommendations.

The HCDC, through the Department of Housing, will then forward its recommendations to the County Board of Supervisors for final approval on or about **Tuesday, April 25, 2017**.

## **II. FUNDING PRIORITIES**

Successful applications will meet one of the funding priorities enumerated in the County's FY 2017-2018 NOFA Funding Priorities, which can be found at [www.smchousing.org](http://www.smchousing.org). At this point, funding amounts for the categories are approximate. The actual amounts are subject to the Congressional appropriations. The FY 2017-2018 allocations for San Mateo County are expected to be announced in the first part of 2017.

No contract will be awarded for less than \$25,000.

## **III. ELIGIBLE ACTIVITIES**

Programs and projects considered for funding must meet all of the following requirements: (1) meet an appropriate HUD national objective; (2) qualify for funding on the basis of principally benefiting lower-income persons; and (3) meet one DOH FY 2017-2018 CDBG/ESG priorities, found at [www.smchousing.org](http://www.smchousing.org)

Listed below are specific eligible types of activities which may be carried out with CDBG funds. While this list is not complete, it provides a spectrum of the more typical activities funded under the CDBG program:

### **A. Housing Rehabilitation Programs (Limited funding available):**

This is for non-site specific programs serving lower income households and individuals.

1. Interior & exterior paint
2. Door & window replacement
3. Water heater/furnace repair or replacement
4. Removal of architectural barriers

### **B. Public Service Activities**

1. Operating costs of shelters and transitional housing
2. Housing-related public services; human service delivery
3. Fair Housing related services

### **C. Micro-Enterprise and Economic Development (Limited funding available):**

1. Support and development of micro-enterprises resulting in the retention or creation of permanent jobs for low income persons

**D. State Emergency Solutions Grant (ESG)**

1. Rapid Rehousing activities (40% of State ESG funding)
2. Support for the operating costs of emergency shelters for homeless individuals and families
3. Funding to improve the number and/or quality of emergency shelters

**IV. PROGRAM-SPECIFIC QUALIFYING CRITERIA**

**A. CDBG Program**

In order to qualify for CDBG funding, all eligible activities must principally benefit very-low and low income persons. Income verification must be done to document client benefit except if the clients are “presumed benefit” (see 4 below), in which case, their status must be verified. An activity will be considered to principally benefit very-low and low-income persons if it meets one or more of the following standards:

1. 100% Low-Income Benefit (Public Services): The activity has an income eligibility requirement that limits the benefits exclusively to very low and low income persons. Public service programs requesting CDBG funds to support program operating costs must demonstrate 100% benefit to very low-/low-income persons. Fair housing enforcement should strive to meet 51% low income beneficiaries of CDBG funding. (See Exhibit 1 for Income Limits).
2. 51% Low-Income Benefit (Capital Projects): Capital projects must serve at least 51% documented low income to qualify under this category. Applicants requesting funding for this category must demonstrate that CDBG funds will benefit this income group.
3. Area Benefit (Capital Projects): The activity is designed to serve low income areas as designated by HUD. Capital projects, such as community centers, which can be demonstrated to benefit an entire community, may only be proposed in East Palo Alto (census tracts 6118; 6119; 6120; and 6121), North Fair Oaks (census tracts 6105 and 6106) and Belle Haven (census tract 6117). A Capital Project located within any other low income census tract may not necessarily qualify under this standard; consult with HCD Staff. To find out if a census tract meets HUD’s definition of Low Income, contact Rose Cade at (650-802-3386 or [rcade@smchousing.org](mailto:rcade@smchousing.org)).
4. Presumed Benefit Population Public Services and Capital Projects: The activity would benefit one or more of the following groups, presumed to be low-income under CDBG regulations: abused children, battered spouses, the elderly, adult persons with serious disabilities, the homeless, illiterate persons, and migrant farm workers. Removal of architectural barriers to assist seniors and adults with severe disabilities would fall under this category of Presumed Benefit.
5. Job Creation/Retention for Low-Income Population (Microenterprise Assistance): The activity is designed to create or retain permanent jobs, a majority of which employ or shall employ very low- and low-income persons.
6. Slum/Blight Elimination: The activity is designed to eliminate slum and blight as part of a comprehensive plan or even on a spot basis, but the majority of the beneficiaries should be low income. Consult staff for more information if your request falls under this category.

**B. ESG Program**

San Mateo County receives Emergency Solutions Grant funds through a direct entitlement from the U.S. Department of Housing and Urban Development along with funding from the State of California’s federal ESG

entitlement. In 2017, the State of California also authorized funding for the new California Emergency Solutions Grants (CA ESG) and those funds are available through this NOFA as well.

The County of San Mateo maintains a strong commitment to prevent and end homelessness for county residents, with the goal to end homelessness by 2020. Over the course of the next few years, the County and stakeholders will focus on system changes and implementing strategies identified in the County’s strategic plan to end homelessness, presented to the Board of Supervisors on March 29, 2016.

San Mateo County’s new Strategic Plan to End Homelessness by 2020 will create a unified system, invest in best practices, and reorient the current homeless system towards housing crisis response. The new plan addresses homelessness as a housing crisis and sets the path to develop a systematic approach targeted at helping people maintain their housing, returning unsheltered homeless people to housing as quickly as possible, and prioritizing existing system capacity for those who face the highest barriers and longest history of homelessness.

Homeless programs receiving Emergency Solutions Grant (formerly known as Emergency Shelter Grant) dollars are required to show at least a one-to-one match from other sources. These other sources may include other federal, non-federal and private funds.

**V. FUNDING PROCEDURES AND REQUIREMENTS**

- A. Religious Organizations. Funds provided under this NOFA cannot be used for religious activities. However, HUD will allow faith-based organizations to access funds for programs and capital projects meeting County funding priorities described above without having to form secular affiliates.
- B. Multiple CDBG Funding. If you are proposing a program which will serve a county-wide population or a population located in one or more of the entitlement cities (e.g., Daly City, South San Francisco, San Mateo, and Redwood City), please also contact the affected entitlement city for funding. ***The County will fund only that portion of the program’s budget which affects the Urban County jurisdiction. The San Mateo Urban County consists of the unincorporated areas of the County plus the 16 small cities.*** Excluded from the Urban County are the four largest cities – Daly City; South San Francisco; San Mateo; and Redwood City.

CDBG contacts in the entitlement cities in the County:			CDBG
<b>Daly City</b>	Lenelle Suliguin <a href="mailto:lsuliguin@dalycity.org">lsuliguin@dalycity.org</a>	650 991-8256	√
<b>South San Francisco</b>	Economic Development and Community Development	650 829-6620	√
<b>San Mateo</b>	Sandra Council <a href="mailto:scouncil@cityofsanmateo.org">scouncil@cityofsanmateo.org</a>	650 522-7223	√
<b>Redwood City</b>	Rhonda Coffman <a href="mailto:rcoffman@redwoodcity.org">rcoffman@redwoodcity.org</a>	650 780-7299	√

- C. Program Proposal with Location outside Urban County Jurisdiction. If you are requesting funding for a program that will be located outside the Urban County jurisdiction, you must demonstrate that residents of the Urban County jurisdiction will receive the principal benefit from the Urban County funds requested.
- D. Program Schedule. When preparing the program schedule, please factor in sufficient time allowances for various administrative procedures. These include County preparation of the HUD-required environmental review under the National Environmental Protection Act (NEPA), negotiation and execution of the funding agreement between

your agency and the County, and formal approval by the County. Funding Agreements exceeding \$100,000 will need review by County Counsel and Board of Supervisors approval.

- E. Environmental Review Process. Federal regulations require local jurisdictions to prepare a NEPA (National Environmental Protection Act) environmental review (ER) for every activity funded with federal funds. If the costs to prepare the ER is done by a DOH consultant, the costs will be taken out of the funding to you. For program services, the NEPA determination will be Exempt and prepared by County staff.
- F. Mandatory Acknowledgement of County and HUD Funding. All programs receiving any type of DOH funding assistance and/or substantial technical assistance will be required to state such in any advertising, marketing, public presentations, press releases, written materials or project descriptions. Such acknowledgement should also identify the U.S. Department of Housing & Urban Development.
- G. Required Agreement between Funded Agency and County of San Mateo. **If you have been awarded County funds for your activity, you must not commit or obligate these funds in any way before an agreement between your agency and the County has been executed. If you commit or obligate the funds before the agreement is executed, DOH may not be able to reimburse you for the program costs.** When planning your project schedule, please allow 4 weeks to 3 months for preparation and execution of the agreement. As noted earlier, contracts involving more than \$100,000 will need County Counsel and Board of Supervisors' approval, which typically requires a minimum of three months' lead time before you can access the funding.
- H. Minimum Contract \$25,000. The Department of Housing minimum contract amount is \$25,000.
- I. Public Service Programs. CDBG funds may be used to support delivery of public services provided the public services serve low income persons. CDBG regulations limit public service expenditures to 15% of a jurisdiction's annual CDBG allocation from HUD. The County funding agreement with the service provider will be performance-based.  
  
If the service provider has service sites outside the County, there must at least a satellite office within the County. New public service programs proposing provision of services only by telephone will not be accepted. It is difficult for such programs to provide the income documentation required by HUD.
- J. Verification of Client Income/Presumed Benefit Status. The County requires that the service provider verify the income of clients served, and that such information be reported to the County on a quarterly basis. Documentation may consist of employment verification and/or benefits income verification and/or tax returns. Self-certification of income of clients receiving program services may be allowed. For presumed low income groups, verification of presumed benefit status is required.
- K. Demographic Data on Project/ Program Beneficiaries. If your project is funded, you will be required to provide County Housing staff with a certain amount of demographic data depending on your particular type of project. The required data may include: client household income, client racial/ethnic background, and head of household information. HUD requires demographic reporting in a variety of categories including but not limited to race/ethnicity. The Housing and Community Development Specialist assigned to monitor your project will discuss with you the extent of other demographic data required for your particular program. The County will provide you with required reporting forms.
- L. Funding on Reimbursement Basis. The County of San Mateo has a strict policy of not providing funding advances before program costs are incurred and paid. The County normally funds community development programs on a reimbursement basis. Reimbursement is made only upon complete documentation of performance of program goals or completion and payment of incurred costs.



- M. Timely Use of Funds.** If funds are awarded to your project, the funds must be obligated (under contract) by March 2018. If the funds have not been obligated by that date, the Director of the Department of Housing will review the project status and may make a recommendation to the Housing & Community Development Committee on whether the funding commitment for your project should be extended for one year; this is not automatic, and must be justified by the project sponsor. If, after a one-year extension, the funds have still not been obligated for your program by March 2019, the Director of the Department of Housing will reprogram the funding commitment.
- N. Financial Audits.** Program applicants are required to submit a copy of the most recent certified financial audit prepared by an independent CPA firm, including any management letters. Annual submission of yearly financial audit reports will also be required during the term of the financing or funding agreement. If your agency has expended \$750,000 or more of federal funds from any source in any one year, the audit should include a “single audit” and be in compliance with federal OMB Circular A-122 or A-133, depending on if your entity is a nonprofit organization or public agency. If project applicants have not expended \$750,000 or more of federal funds from any source in any one year, they must attach a certification attesting to this fact.
- O. Background of Nonprofit Organizations.** All nonprofit organizations applying for funds must meet the following requirements:
1. Governing Body - Governing body of the organization should be vested in a responsible and active voluntary board which meets at least quarterly and establishes and enforces policy. The governing body should be large enough and so structured to be representative of the community it serves.
  2. Personnel - The organization must provide for adequate administration of the program to ensure delivery of services. At a minimum one person should be designated the director of the organization.
  3. Staffing of Public Service Programs - Agencies requesting funds for public service programs should have staffing at all levels of responsibility that reflect the racial/ethnic composition of population served. It is highly desirable that the agency staff also possess the appropriate bi-cultural and bi-lingual capabilities.
- P. Designated Person to Execute Documents.** Nonprofits should submit a copy of their Board resolution designating a person responsible for executing all documents related to the funding. This may be combined with the County-required resolution from the nonprofit that specifically authorizes the nonprofit to make an application for funds.
- Q. Debarment.** Housing & Community Developments Act of 1974, 24 CFR Part 5 provides that assistance shall not be used directly or indirectly to employ, award contracts to, or otherwise engage the services of, or fund any Contractor or sub-recipient during any period of debarment, suspension, or placement in ineligibility status under the provisions of 24 CFR part 24. This provision covers all Contractors and sub-recipients, as well as subcontractors of Contractor or sub-recipient, whose names are included in the “List of Parties Excluded from Federal Procurement and Non-procurement Programs.” Inclusion in the aforementioned List during the term of this agreement would constitute grounds for contract termination. The aforementioned List can be found on the Web at [www.sam.gov](http://www.sam.gov).
- R. Other Requirements:**
1. Fingerprinting Requirements of Staff. The County requires that all contractors, assignees, and volunteers of agencies doing business with the County and who during the course of performing services, may have contact with children, be fingerprinted in order to determine whether they have a criminal history which would compromise the safety of children.
  2. Equal Benefits Compliance. Any party entering into contract with the County must offer equal benefits to their employees. The County prohibits discrimination in the provision of employee benefits between an

employee with a domestic partner and an employee with a spouse must offer equal benefits to their employees.

3. **Persons with Special Needs.** For programs and projects serving Persons with Special Needs the following definitions apply: Under CDBG, this category includes: abused children; homeless veterans and veterans at risk of homelessness; survivors of domestic violence; seniors (62+); adults and families with children with serious disabilities; homeless persons; illiterate persons; and migrant farm workers. For County purposes, this category shall also include, but not be limited to, mentally ill persons; emancipated youth; seniors aging in place (for service-related programs); frail seniors (for housing); persons recovering from substance abuse; and persons recently released from jail or prison.

Grantees and subrecipients providing services or supportive housing to **Persons with Special Needs** as defined above will verify the eligibility of beneficiaries of County, CDBG, HOME and ESG funding.

## VI. EVALUATION CRITERIA

Applications will be evaluated by County Staff and the public advisory body, the Housing and Community Development Committee (HCDC) on the following basis:

- A. **Threshold Criteria.** The project application must be received on time, be complete, and meet the requirement that the project be both eligible and qualify under CDBG, HOME, and/or ESG regulations.
- B. **Evaluation Criteria.** Once a project is determined to meet the threshold criteria, the proposed project is then evaluated against the additional criteria:
  1. Funding Priority: Extent to which Project addresses one of the NOFA funding priorities listed in Section II of this NOFA with more detail available as a separate document County of San Mateo FY 2017-2018 Notice of Funding Availability (NOFA) Funding Priorities available at [www.smchousing.org](http://www.smchousing.org)
  2. Sponsor Capacity/ Capability: Ability of project sponsor to carry out proposed project/program.
  3. Project Feasibility/ Readiness: Reasonableness of proposed time line for implementing and completing project in the near term. Requests for funding to support community or public service programs must be for programs in the upcoming fiscal year.
  4. Cost-Effectiveness: Extent to which project is cost effective in serving new or additional clients.
  4. Leveraging: Extent to which other funding sources have been sought and committed to Project or Program.

***Please note that past performance of the subrecipient/grantee will be considered in making awards. This will include any outstanding findings or concerns identified through monitoring, timely submission of quarterly and annual report(s) and meeting expenditure and performance goals.***

## VII. APPLICATION SUBMISSION

There are two (2) distinct application forms depending on program type: (1) Application for Year-Two of a two-year agreement for CDBG or ESG funding from the San Mateo County entitlements for Public Services/Shelter Services/Rapid Re-Housing, Fair Housing, Micro-Enterprise and Minor Home Repair; and (2) Application for funding allocated to San Mateo County by the State of California Department of Housing and Community Development through the State Emergency Solutions Grant (ESG) Program. Submit one application per program funding request.

**A. Application Preparation Workshop:** An application preparation workshop will be held on Wednesday, January 11, 2017 from 2:00 p.m. – 4:00 p.m. at:

San Mateo County Department of Housing  
264 Harbor Boulevard, Building A – Jupiter Room  
Belmont, CA 94002-017

**B. Submission Requirements:** Submit one application per program funding request through CDS. Applications can be accessed at [www.citydataservices.net/](http://www.citydataservices.net/) No paper applications will be accepted.

**C. Submission Deadline.** Applications are due on **Friday, January 27 2017, 5:00 PM. Late applications will not be accepted.**

**D. Where to Submit.** [www.citydataservices.net/](http://www.citydataservices.net/) No paper submissions accepted.

**E. Information and Assistance.** Staff is available to answer questions regarding the NOFA and preparation and submittal of the application. You may contact the following staff:

Name	Phone	E-Mail
Rose Cade	(650) 802-3386	<a href="mailto:rcade@smchousing.org">rcade@smchousing.org</a>

## Exhibit 1

# 2016 San Mateo County Income Limits

as determined by HUD - effective December 18 , 2013

revised 05/26/16

For HUD-funded programs, use the Federal Income Schedule. For State or locally-funded programs, you may use the State Income Schedule. For programs funded with both federal and state funds, use the more stringent income levels.

Please verify the income and rent figures in use for specific programs.

### San Mateo County (based on Federal Income Limits for SMC)

Prepared 5/26/2016 - HUD-established area median Income **\$107,700** (based on household of 4).

<u>Income Category</u>	<u>Income Limits by Family Size (\$)</u>							
	1	2	3	4	5	6	7	8
Extremely Low (30% AMI) *	25,850	29,550	33,250	<b>36,900</b>	39,900	42,850	45,800	48,750
Very Low (50% AMI) *	43,050	49,200	55,350	<b>61,500</b>	66,450	71,350	76,300	81,200
HOME Limit (60% AMI) *	51,660	59,040	66,420	<b>73,800</b>	79,740	85,620	91,560	97,440
Low (80% AMI) *	68,950	78,800	88,650	<b>98,500</b>	106,400	114,300	122,150	130,050

### NOTES

Income figures provided by HUD for following San Mateo County federal entitlement programs: CDBG, HOME, ESG.

**EXHIBIT 2**  
**Sample Certification for No Single Audit Requirement Needed**

(Please insert sample language onto your agency letterhead stationery)

Department of Housing  
County of San Mateo  
264 Harbor Bldg, Bldg A  
Belmont, CA 94002

Dear: \_\_\_\_\_ :

This is to certify that as \_\_\_\_\_ (title) for our agency. \_\_\_\_\_ (name of agency), we did not expend more than \$750,000 of federal funds from all federal sources during the fiscal year ending \_\_\_\_\_. As such, our independent financial audit submitted with this application was not required to comply with the single audit requirements set forth in OMB A-122 or A-133.

\_\_\_\_\_  
Name (signature)

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

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date