



**Emergency Solutions Grant
Program Guidelines and Application
2011-12 and 2012-13 Program Years
Due Date: Friday, April 15, 2011**

Emergency Solutions Grant (ESG) Overview

The ESG program is authorized by the McKinney-Vento Homeless Assistance Act funded through the U.S. Department of Housing and Urban Development (HUD). This federally funded program is administered through HUD by a formula allocation to ESG entitlement localities and states.

The Virginia Department of Housing and Community Development (DHCD) is responsible for administering the state ESG allocation for Virginia. The state allocation minus 7.5 percent for state/local government administrative costs will be allocated to sub-grantees (non-profits and units of local governments) in ESG non-entitlement localities. These are localities that do not receive a direct ESG allocation from HUD.

The goals of the state ESG program are that:

- Individuals and families at-risk of homelessness obtain and maintain appropriate permanent housing; and
- Individuals and families experiencing homelessness obtain and maintain appropriate permanent housing.

DHCD will meet these objectives through supporting effective homeless services and prevention programs.

Sub-grantees will be selected for a two-year grant term (July 1, 2011- June 30, 2013). One-year contracts will be issued for the first year period (July 1, 2011 – June 30, 2012) with the second year renewal (July 1, 2012 – June 30, 2013) based on sub-grantee compliance, performance and the availability of funding.

Funding Levels

The estimated total funding available for annual distribution through this competitive application is approximately \$1,600,000 based on current year (July 1, 2010 – June 30, 2011) funding levels. *Please note that actual HUD funding levels have not been determined at the writing of this document and could vary significantly from current year funding levels.*

DHCD does not anticipate making any sub-grantee awards greater than \$50,000 for emergency shelter, transitional housing, prevention or rapid re-housing proposals; however DHCD will consider making higher awards to proposals for homeless services (see Eligible Programs for specifics).

DHCD will review sub-grantee performance at least annually and reserves the right to de-obligate and reallocate funds throughout the grant term.

Local government applicants may request up to five percent for administrative costs. Administrative costs are not eligible costs for non-profit applicants.

All grants will be program-based awards for eligible homeless services and homeless prevention programs. Only proposals meeting minimum threshold requirements will be

considered for funding. See Eligible Activities and Proposal Evaluation Criteria for more details.

Eligible Service Areas

These limited ESG funds are designated for ESG non-entitlement localities within Virginia. Eligible services area requirements are intended to maximize the amount of available ESG funds going to serve non-entitlement localities and are not intended to exclude services to any individuals or family based upon their last known address.

Eligible proposals include emergency shelter, transitional housing, rapid re-housing, homeless prevention and homeless services programs serving non-ESG entitlement localities in Virginia. Eligible programs include the following:

- Shelters and transitional housing programs with congregate living facilities physically located in a non-entitlement area
- Scattered site shelter and transitional programs with units exclusively in non-entitlement areas
- Rapid re-housing and prevention programs targeted to non-entitlement areas
- Service provision location within non-entitlement areas

The following chart lists Virginia localities that receive ESG funds directly from HUD (ESG entitlement areas), which are ineligible for this ESG program.

ESG Entitlement Localities* Ineligible Localities
Norfolk
Richmond
Roanoke
Virginia Beach
Fairfax County
Prince William County

*Virginia localities not listed above are non-entitlement areas.

Applicant Eligibility

Applicants must be non-profits or units of local government and current on 990 filings (not applicable to units of government).

A primarily religious organization must establish a completely secular, private, non-profit organization to serve as the sub-grantee for ESG funding through this program. Please note this requirement does not prevent primarily religious organizations that do not currently meet this requirement from applying. A pending application for non-profit status 501 (c) (3) is sufficient at the time of application. If the sub-grantee's application results in a decision to fund the program then a funding agreement, contingent upon being granted the non-profit status, will be issued. See the *Other Requirements* section of this document for more details on limits to funding primarily religious organizations.

Applicants must be in compliance with ESG guidelines and applicable state and federal policies and procedures, including compliance with federal and state non-discrimination laws.

Applicants must have established standard accounting practices including internal controls, fiscal accounting procedures and cost allocation plans, and be able to track agency and program budgets by revenue sources and expenses.

Applicants with outstanding audit findings, IRS findings, DHCD monitoring findings or other compliance issues are not eligible ESG sub-grantees and any sub-grantee will not be eligible to receive allocations if any of these conditions occur within the grant period. Please note that DHCD will work with all interested parties, where appropriate, toward the resolution of unresolved matters.

Eligible applicants must be able to demonstrate prior experience serving individuals and families at-risk of or currently experiencing homelessness.

Continuum of Care participation is required. All applicants must provide *CoC Participation Certification*.

Sub-grantees must certify that they will fully utilize the Homelessness Management Information System (HMIS) for their area. While sub-grantees must work with their local HMIS administrator, please note that different areas within the state may use different systems and/or system administrators. The applicant should work with their local CoC to coordinate HMIS access and technical assistance. The sub-grantee assumes full responsibility for all reporting to DHCD. The table below provides the names of Virginia's local Continuums of Care. Please check the following website for local CoC contact information and for information on the geographic areas covered by each CoC:

<http://www.hud.gov/offices/cpd/homeless/local/index.cfm?st=va&coc=502>.

Name of Virginia Continuums of Care
Richmond/Henrico, Chesterfield, Hanover Counties CoC
Norfolk CoC
Roanoke City & County/Salem CoC
Virginia Beach CoC
Charlottesville CoC
Newport News/Hampton/Virginia Peninsula CoC
Portsmouth CoC
Lynchburg CoC
Petersburg CoC
Staunton/Waynesboro/Augusta, Highland Counties CoC
Chesapeake CoC
Winchester/Shenandoah, Frederick, Warren Counties CoC
Fredericksburg/Spotsylvania, Stafford Counties CoC
Danville/Martinsville CoC
Harrisonburg/ Rockingham County CoC
Suffolk CoC
Virginia Balance of State CoC* <ul style="list-style-type: none"> • PD1 (Lenowisco) • PD 2 (Cumberland Plateau) • PD 3 (HOPE Inter-Agency Council on Homelessness) • PD 4 (New River Valley - Housing Partnership of the New River Valley) • PD 9 (Piedmont Housing Network) • PD 13 (Southside) • PD 14 (Heartland) • PD 17 & 18 (Five Rivers) • PD 22 (Accomack-Northampton)
Arlington County CoC
Fairfax County CoC
Loudoun County CoC
Alexandria CoC
Prince William County CoC

**Virginia Balance of State Continuum of Care includes several individual local CoCs.*

Please note that domestic violence programs are exempt from the HMIS requirement, however they will be required to provide aggregate data for reporting purposes.

Key Applicant Eligibility Factors

- *Either non-profit or unit of local government*
- *No outstanding findings or other issues*
- *Experienced homeless services/prevention provider*
- *Must be able to meet recordkeeping and reporting requirements including HMIS utilization*
- *Must be able to meet HMIS requirements (exception of domestic violence programs)*
- *Must be certified as local CoC participant*
- *Must have proposal certified as meeting local CoC needs*

Eligible Program Participants

Eligible program participants for emergency shelter, transitional housing and rapid re-housing programs must meet HUD’s definition of homelessness:

Homeless Status Eligibility	
(1)	An individual or family who lacks a fixed, regular and adequate nighttime residence;
(2)	An individual or family with a primary nighttime residence that is a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport or camping ground
(3)	An individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (includes hotel/motels paid for by federal, state, local government, private non-profits as a temporary shelter)
(4)	An individual who resided in a shelter or place not meant for human habitation and who is exiting an institution where they temporarily resided
(5)	<p>An individual or family:</p> <p>(A) who will imminently lose their housing, including housing they own, rent, or live in without paying, are sharing with others and rooms in hotel/motels NOT paid for by federal, state, local government, private non-profits as a temporary shelter, as evidenced by :</p> <ul style="list-style-type: none"> • a court order resulting from an eviction action that notifies the individuals or family that they must leave in 14 days; • the individuals or family having a primary nighttime residence that is a room in a hotel/motel and where they lack the resources necessary to reside there for more than 14 days; or • credible evidence indicating that the owner or renter of the housing will not allow the individual or family to stay for more than 14 days, and any oral statement from an individual or family seeking homeless assistance that is found to be credible shall be considered credible evidence; <p>(B) has no subsequent residence identified; and</p> <p>(C) lacks the resources or supports networks needed to obtain other permanent housing;</p>

(6)	<p>Unaccompanied youth and homeless families with children defined as homeless under other federal statutes who,</p> <ul style="list-style-type: none"> • have experienced a long term period without living independently in permanent housing; • have experienced persistent instability as measured by frequent moves over such periods, and • can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic health or mental health conditions, substance addiction, histories of domestic violence or childhood abuse, the presence of a child or youth with a disability, or multiple barriers to employment;
(7)	<p>An individual or family who is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life threatening conditions in the individual's or family's current housing situation, including where the health and safety of children are jeopardized, and who have no other residence and lack the resources or support networks to obtain other permanent housing.</p>

Eligible program participants for homeless prevention activities must meet HUD's definition of at-risk of homelessness:

At-Risk of Homelessness Status Eligibility	
An individual or family:	
(1)	has income below 30 percent of the median area income*; AND
(2)	has insufficient resources immediately available to attain housing stability; AND
(3)	<ul style="list-style-type: none"> • has moved frequently because of economic hardship, • is living in the home of another because of economic hardship, • has been notified that their right to occupy their current housing or living situation will be terminated, • lives in a hotel/motel, • lives in severely overcrowded housing, • is exiting an institution, OR • otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness.

*See Determination of Income section of these guidelines.

Eligible program participants for homeless services activities targeting chronically homeless individuals must meet HUD's definition of chronic homelessness:

Chronic Homelessness Status Eligibility	
An individual or family:	
(1)	is homeless and lives or resides in a place not meant for human habitation, a safe haven, or in an emergency shelter ; AND
(2)	has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least one year or on at least four separate occasions in the past three years; AND
(3)	has a adult head of household (or a minor head of household if no adult is present in the household) with a diagnosable substance use disorder, serious mental illness, developmental disability, post traumatic stress disorder, cognitive impairments resulting from a brain injury, or chronic physical illness or disability, including the co-occurrence of two or more of those conditions.
An individual who currently lives or resides in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital or other similar facility, and has resided there for fewer than 90 days shall be considered chronically homeless if they met all of the requirements above (1-3) prior to entering that facility.	

Please note that ESG sub-grantees are required to document homelessness or at-risk status for each program participant.

Determination of Income Eligibility

All households at-risk of homelessness served with ESG must meet the HUD definition of at-risk including having household income at 30 percent or below area median income (AMI). The definition of household income for the purpose of this program is based on HUD's Section 8 income eligibility standards. A Section 8 income calculator based on this definition and further guidance can be found at: <https://webapps1.hud.gov/hfc/calculator>.

Area median income varies by locality. Specific local AMI by household size is available at: <http://www.huduser.org/DATASETS/il.html>.

Sub-grantees must document and date the determination of income eligibility. This documentation including all required source documentation must be included in the program participant record. Please note that in the case of no household income a program participant certified statement of no income is allowable.

Eligible Programs

Eligible programs are emergency shelter, transitional housing, rapid re-housing, homeless prevention and homeless services programs. Homeless services programs must include two or more eligible program components (emergency shelter operations, transitional housing operations, rapid re-housing assistance and/or homeless prevention assistance).

Please note that eligible program activity types and costs categories are based on current program design and anticipated changes to HUD's design for the ESG program and may be subject to change.

Emergency shelter provides short-term emergency housing for the homeless in general or for specific populations of individuals or families experiencing homelessness. Emergency shelter programs provide temporary emergency shelter, housing barrier assessments and referrals to appropriate permanent housing resources.

The ultimate goal is that no one is homeless (living on the streets, in emergency shelter or in transitional housing) for more 30 days.

Eligible emergency shelter programs should be structured as no more than six months with a focus on minimizing the amount of time that program participants remain homeless (living on the streets, in emergency shelter or in transitional housing). Please note that the lead-based paint requirements apply for programs 100 days or more in duration.

Emphasis should be placed on providing adequate assessments of program participant housing barriers with a focus on moving program participants to permanent solutions as soon as possible.

The expectation is that emergency shelters are working closely with other community resources to minimize the length of the shelter stay.

Eligible program costs include actual costs (rent, maintenance, utilities) associated with the facility or units where temporary shelter is provided and where intake, assessments and services are provided. Eligible costs include staff costs associated with intake, assessments, referrals and shelter operations. These costs exclude mortgage related costs in the case where a sub-grantee has a debt service on a facility and/or housing unit, location for temporary shelter and/or service provision.

Please note that eligible emergency shelter program costs outlined in this guideline are based on current ESG federal regulations and anticipated regulatory changes and may be subject to change.

Transitional housing is a type of temporary supportive housing used to facilitate the movement of homeless individuals and families to permanent housing. It is temporary housing in which homeless persons may live for up to 24 months and receive supportive services that enable them to live more independently; therefore it is intended to serve program participants with more significant housing barriers.

While transitional housing programs may allow for shelter stays for up to 24 months, the ultimate goal is that no one is homeless (living on the streets, in emergency shelter or in transitional housing) for more 30 days. Eligible transitional housing programs are structured to:

- Serve those with more significant housing barriers,
- Minimize the length of the shelter stay, and
- Transition program participants into permanent or permanent supportive housing as soon as possible.

Please note that the lead-based paint requirement applies for programs 100 days or more in duration.

Transitional housing programs must assure that program participants have access to supportive services to address housing barriers. The supportive services may be provided by the organization managing the transitional housing or coordinated by them and provided by other public or private agencies.

Please note that eligible transitional housing program costs outlined in this guideline are based on current ESG federal regulations and anticipated regulatory changes and may be subject to change.

Rapid Re-housing is designed to provide immediate permanent housing to individuals and families experiencing homelessness. This program is typically targeted to program participants with relatively few housing barriers. It may include follow-up and/or short-term case management. Eligible costs include program participant rent subsidy, rent and utility deposits, and rent and utility arrears in the case where payment is necessary to secure permanent housing. Eligible costs also include staff and facility costs associated with the provision of the rapid re-housing.

Transition-in-place is an eligible type of rapid re-housing. These types of programs typically target program participants with fewer housing barriers than those requiring transitional housing. Transition-in-place program participants are those who, based on assessments of housing barriers, appear to be able to live independently in permanent housing with initial limited support. These types of programs allow for a reduction of support over time toward independent permanent housing. Transition-in-place differs from transitional housing and rapid re-housing in that:

- Transition-in-place is intended to target program participants that need less support services than transitional housing
- Transition-in-place provides support services and a longer period of case management than rapid re-housing

In both cases rapid re-housing and transition-in-place program participants will have the lease in their names and will retain the unit in their name once they exit the program. Please note that in some cases master or joint leases in the name of the sub-grantee are appropriate.

The amount and length of rent subsidies is based on need and must not exceed 18 months (including arrears). *The 18-month limit is based on the HUD Homelessness Prevention and Rapid Re-housing (HPRP) program and may be subject to change once HUD finalizes ESG guidelines.*

Please note that eligible rapid re-housing and transition-in-place program costs outlined in this guideline are based on current ESG federal regulations and anticipated regulatory changes and may be subject to change.

Homelessness status must be documented as required for all program participants that receive emergency shelter, transitional housing and rapid re-housing.

Homeless Prevention provides eligible financial assistance and support services to qualified program participants at risk of becoming homeless. All program participants receiving prevention services must have household incomes at or below 30 percent area median income (AMI).

Financial assistance includes rent and utility assistance in the cases where otherwise eligible program participants have received eviction notices or notices of termination of utility services and;

- The program participant cannot make the required payments due to a sudden reduction in income;
- The assistance is necessary to avoid the eviction or termination of services;
- There is a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and
- The assistance will not supplant funding for pre-existing homelessness prevention activities from other sources.

Eligible homeless prevention support services activities or programs are designed to prevent the incidence of homelessness, including (but not limited to):

- Mediation programs for landlord-tenant disputes;
- Legal services programs for the representation of indigent tenants in eviction proceedings;
- Case management; and
- Staff and facility costs associated with providing prevention.

At risk status and income eligibility based on the Section 8 income definition must be documented prior to receiving any services for all program participants receiving homeless prevention services.

Please note that eligible homeless prevention costs outlined in this guideline are based on current ESG federal regulations and anticipated regulatory changes and maybe subject to change.

Homeless Services programs include two or more of the following program components:

- Emergency Shelter (triage) Operations
- Transitional Housing Operations
- Rapid Re-housing Assistance
- Homeless Prevention Assistance

Program components within a homeless services program must be structured to work together to further state and federal goals (minimize the length of homelessness and/or prevent homelessness).

All homeless services proposals must be able to clearly articulate how the homeless services program including each program component will shorten the average shelter stay, prevent homelessness and/or transition households quickly to permanent housing.

Homeless services proposals must submit an outcome logic model with the application materials. For more details on outcome logic models go to:

http://www.yourunitedway.org/media/Guide_for_Logic_Models_and_Measurements.pdf

Applicants must not submit multiple proposals that share any of the same program components. For example, DHCD will not consider either proposal in the case where an applicant has submitted a proposal for a specific emergency shelter program and a separate proposal for homeless services that includes the same emergency shelter. DHCD will not consider or fund either proposal in any case where proposals appear to share program components. Subsequently, DHCD reserves the right to fully de-obligate all funding commitments for any sub-grantee found to have shared program components across multiple funding commitments.

Eligible Program Type	Purpose	Eligible Costs
Emergency Shelter	Short-term emergency housing for individuals and families experiencing homelessness to provide triage, intake, assessment and referral and move program participants in a timely manner to transitional housing (where appropriate), permanent housing or permanent supportive housing.	Actual rent, utility and maintenance costs associated with the temporary housing and the location where intake and assessment occur; staff costs associated with the intakes, assessments and shelter operation.
Transitional Housing	Temporary supportive housing for individuals and families experiencing homelessness with more significant housing barriers, to provide shelter and supportive services designed to address housing barriers and move program participants in a timely manner to permanent or permanent supportive housing.	Actual rent, utility, and maintenance costs associated with the temporary housing and the location where supportive services are provided; staff costs associated with services and shelter operation.
Rapid Re-Housing (and transition-in-place)	Financial assistance and services to individuals and households experiencing homelessness to provide immediate access to permanent housing.	Rent assistance/subsidy, rent/utility deposits, rent/utilities arrears, case management, staff and facility costs associated with providing program.
Homeless Prevention	Financial assistance and services to help individuals and families at-risk of homelessness to maintain permanent housing.	Rent assistance/subsidy, rent/utility deposits, case management, staff and facility costs associated with providing program.
Homeless Services	Two or more of the above designed to address housing barriers and move program participants in a timely manner to permanent or permanent supportive housing.	All of above (specific to program combination).

Ineligible costs include, but may not be limited to:

- Recruitment
- Depreciation
- Costs associated with the organization rather than the specific program
- Any costs associated with advertisements, pamphlets, surveys, etc...
- Staff training, entertainment, conferences or retreats
- Public relations or fundraising
- Sub-grantee bad debts/late fees
- Program participant mortgage assistance/payments
- Sub-grantee mortgage/debt service
- Indirect costs
- Rental assistance in any unit in which the sub-grantee or subsidiary has one percent or more ownership interest in the property

Sub-grantees will be monitored to assure that reimbursed ESG expenses are in compliance with program guidelines.

Program Participant Rent Requirements

Sub-grantees may not require client rent for clients residing in emergency shelter or transitional housing programs. In some cases, sub-grantees may collect a program fee, but not rent. Please see *Program Fees* section for details.

Program Fees

Transitional housing programs may under specific conditions charge clients a program fee for program support services (not rent). The program fee can never exceed 30 percent of the household income. All program fee policies must be written and applied consistently within the transitional housing program. Program fees are considered revenue and must be reflected and tracked as such in the program/agency budget and in the sub-grantee's accounting system. Any program fee policy must be:

- Necessary to transition program participant in a timely manner to permanent housing;
- Appropriate to the target population;
- Used to provide services within the program;
- Tracked as a revenue source in the program budget ; and
- Approved prior to implementation by DHCD.

Documentation of Homelessness or At-Risk Status

Documentation of participants' homelessness situation is an important aspect of ESG program compliance. ESG sub-grantees are required to maintain adequate documentation of homelessness or at-risk status to determine the eligibility of persons served by HUD's homeless assistance or prevention programs. The documentation is typically obtained from the participant or a third party at the time of referral, entry, intake or orientation to the ESG-funded program. A completed *Homeless Certification Form* or *At-Risk of Homelessness*

Certification Form (required documentation) and any supporting documentation must be maintained in the client file.

Sub-grantees will be monitored for compliance with this documentation requirement.

Termination of Participation and Grievance Procedure

Sub-grantees may terminate assistance provided by ESG-funded activities to participants who violate program requirements in accordance with the sub-grantees termination policy. The termination, however, must allow for the due process of the terminated participant's rights based on the sub-grantee's Grievance Procedures and be based on written program policies subject to DHCD approval.

Sub-grantees must have in place a procedure that governs the termination and grievance process. These procedures should describe the program requirements and the termination process, as well as the grievance procedure that might, for example, allow participants to request a hearing regarding the termination of their assistance.

Sub-grantees must effectively communicate the termination and grievance procedures to participants and ensure that the procedures are fully understood. A copy of the procedures must be signed by the program participant and this documentation must be present in program participant files. While the sub-grantee staff might verbally explain the procedures to participants upon entry, intake, or orientation to the ESG-funded program, the sub-grantee must also present this information in writing to the program participants. It is also recommended that the policy be posted in a public place. Posting the policy on a bulletin board in a common area within the facility is an effective way to ensure that the procedures are available for participants to access at any time.

Sub-grantees must be able to demonstrate compliance with the Termination of Participation and Grievance Procedures requirement, which will be confirmed through DHCD monitoring of sub-grantees.

Participation of Homeless Persons in Policy-Making and Operations

The ESG program requires that sub-grantees encourage the participation of homeless persons in projects in a number of ways.

Sub-grantees of ESG funds are required by law to provide for the participation of at least one homeless or formerly homeless person in a policy-making function within the organization. This might include, for example, involvement of a homeless or formerly homeless person on the Board of Directors or similar entity that considers and sets policy or makes decisions for the sub-grantee agency.

This requirement may be waived, however, only in the case that the sub-grantee agrees to consult with homeless or formerly homeless persons in making policy or decisions. If necessary, contact DHCD for more details.

Sub-grantees are required to involve program participants in the operation of the ESG-funded program. This involvement includes program participants' employment or volunteering in program activities such as construction, renovation, maintenance, general operation of

facilities or provision of services. For example, a shelter might involve participants in ongoing maintenance tasks or other operations of the facility such as staffing the reception desk. This involvement can include paid and/or volunteer work.

Sub-grantees will be monitored for compliance with these program requirements.

Ensuring Confidentiality

Sub-grantees must take appropriate measures to provide for program participant confidentiality. To ensure the safety and security of clients, sub-grantees are required to develop and implement procedures to guarantee the confidentiality of records concerning program participants. At a minimum, all client paper files and records should be secured when not in use in a locked file cabinet. Client records and files that are stored electronically must be password protected and should only be accessed by authorized agency personnel. Unique client identifiers should be used whenever possible. Confidentiality statements should be used and signed by any staff, board members, volunteers or outside individuals who have access to client information.

Property Standards

All facilities and housing units where program participants move must meet basic habitability standards. Documentation of this must be included, where applicable, in all program participant files or be available specific to the facility. Congregate facilities must assure that ESG funded program facilities meet these standards. The *ESG Basic Habitability Check List* is the required documentation for this specific program requirement.

Shelter facilities must pass annual fire inspections, unless otherwise exempted by DHCD.

All programs must meet Lead Safe requirements where program participant residence will be greater than 100 days.

A number of lead-based paint requirements apply for programs longer than 100 days: The sub-grantee should conduct the following activities:

1. A visual assessment of all painted surfaces to identify deteriorated surfaces;
2. Complete paint stabilization of all deteriorated surfaces;
3. Incorporate ongoing lead-based paint maintenance activities into the regular building maintenance operations;
4. Notification as described above; and
5. Include a completed *Lead Visual Assessment* form in applicable program participant files.

A number of properties are exempt from this regulation. For the properties that fall under the following categories, the lead-based paint regulations do not apply:

- Housing built after January 1, 1978 (the date when lead-based paint was banned for residential use);
- Housing exclusively for the elderly or persons with disabilities, unless a child under age six is expected to reside there;

- Zero bedroom dwellings, including efficiency apartments, single-room occupancy housing, dormitories, or military barracks;
- Property that has been found to be free of lead-based paint by a certified inspector;
- Property from which all lead-based paint has been removed, and clearance has been achieved;
- Unoccupied housing that will remain vacant until it is demolished;
- Non-residential property;
- Any rehabilitation or housing improvement that does not disturb a painted surface;
- Emergency repair actions which are needed to safeguard against imminent danger to human life, health or safety, or to protect property from further structural damage;
- Emergency housing assistance (such as for the homeless) unless the assistance is for long-term assistance that lasts more than 100 days. **In the case where long-term housing assistance lasts for more than 100 days, then the rule does apply.**

Copies of the lead-based paint regulation can be obtained by downloading it from the HUD Office of Lead Hazard Control web site at www.hud.gov/lea or by calling 1-800-424-LEAD.

Each program will be monitored for required documentation and compliance with this program requirement.

Financial Management

Sub-grantees must ensure compliance with regulations and requirements pertaining to the following key areas of financial management:

- Allowable costs
- Source documentation
- Internal controls
- Budget controls
- Cost allocation plans
- Cash management
- Accounting records
- Procurement
- Property asset controls
- Audits

Sub-grantees must use ESG program funds only for eligible activities and in accordance with the DHCD-approved program budget. Any changes from the planned expenditures must be approved in advance by DHCD. ESG funds may not be used for activities other than those authorized in the regulations and approved by DHCD. Furthermore, all expenditures must be in accordance with conditions such as funding ceilings and other limitations on ESG eligible costs.

Internal controls refer to the combination of policies, procedures, defined responsibilities, personnel and records that allow an organization to maintain adequate oversight and control of its finances. As such, internal controls reflect the overall financial management system of an organization or agency. Budget controls, cost allocation plans, cash management, accounting records, procurement and property controls are sub-sets of the overall financial system.

The specific administrative requirements (i.e., financial management standards) for grants to state and local government entities are contained in 24 CFR Part 85, OMB Circular A-87 and CAPP Manual.

Sub-grantees will be monitored for required documentation and compliance with the program requirements.

A compliance monitoring may review the following:

- An organizational chart showing titles and lines of authority for all individuals involved in approving or recording financial (and other) transactions
- Written position descriptions that describe the responsibilities of all key employees
- A written policy manual specifying approval authority for financial transactions and guidelines for controlling expenditures
- Written procedures for the recording of transactions, as well as an accounting manual and a chart of accounts
- Adequate separation of duties to assure that no one individual has authority over an entire financial transaction
- Hiring policies to ensure that staff qualifications are equal to job responsibilities and that individuals hired are competent to do the job
- Control of access to accounting records, assets, blank forms, and confidential records are adequately controlled, such that only authorized persons can access them
- Procedures for regular reconciliation of its financial records, comparing its records with actual assets and liabilities of the organization
- Accounting records/source documentation
- Cost allocation plans
- Cash management procedures
- Procurement procedures
- Property controls
- Annual Audit

Audits

Sub-grantees receiving a total of \$500,000 or more in federal and/or state funds are required to have annual audits conducted in compliance with OMB A-133 standards. Those sub-grantees with less than \$500,000 in federal and state funds should complete annual reviewed financial statements. Annual audits and financial statements, whichever is appropriate, must be within six months following the end of the sub-grantee's fiscal year.

Time sheets

Employee time sheets should reflect actual hours (not percentages) worked and be based on the cost allocation plan. Time sheets should be signed and dated (or equivalent electronic approval) by the employee and the supervisor having first-hand knowledge of the work performed. If the expenditures are paid for by more than one source (e.g., federal, United Way, private donations) the split costs should be accurately tracked within the sub-grantee's accounting system.

Method of Payment

Disbursements will be made every other month based on DHCD's schedule. Sub-grantees must submit *Requests for Reimbursement*. The *Requests for Reimbursement* are reviewed by DHCD staff and approved for reimbursement based on the information submitted. ESG monitoring will review full source documentation for specific reimbursement periods. Any item found to be ineligible and/or unsupported must be paid back in full to DHCD. DHCD reserves the right to reduce subsequent reimbursements by the amount of any ineligible and/or unsupported cost. Any sub-grantee with unresolved findings or compliance issues may have reimbursement suspended. Any applicant with unresolved findings or compliance issues is ineligible for ESG funding through this program.

Sub-grantees are required to receive funds via electronic transfer. To establish an account go to the Virginia Department of Accounts web site (<http://www.doa.virginia.gov>) and select EDI

(Electronic Data Interchange) from the links on the right hand side of the page. The EDI guide then may be accessed through a link under the Trading Partner Information section.

DUNS Number

All sub-grantees are required to register with Dun and Bradstreet to obtain a DUNS number, if they have not already done so. For more information see 73 FR23483, April 30, 2008 or go to: http://www.dnb.com/US/duns_update/.

Central Contractor Registration (CCR)

The Central Contractor Registration (CCR) is the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions, including Federal agency contract and assistance awards. Both current and potential federal government registrants are required to register in CCR in order to be awarded contracts by the federal government. Registrants must update or renew their registration at least once per year to maintain an active status. Although recipients of direct federal contracts and grant awards have been required to be registered with CCR since 2003, this requirement is now being extended to indirect recipients of federal funds with the passage of ARRA. Per ARRA (American Recovery and Reinvestment Act) and FFATA (Federal Funding Accountability and Transparency Act) federal regulations, all sub-grantees or subcontractors receiving federal grant awards or contracts must be registered with the CCR. To register go to <https://www.bpn.gov/ccr/default.aspx>.

Recordkeeping

Sub-grantees must keep any records and submit any reports (including those pertaining to race, ethnicity, gender and disability status data) that HUD or DHCD may require within the timeframe required. All program and program participant records must be maintained for a minimum of five years.

Monitoring

DHCD is responsible for monitoring all ESG activities carried out by a sub-grantee to ensure that the program requirements established by HUD and DHCD are met. Monitoring may also be conducted by the local HUD Office of Community Planning and Development, HUD's Office of Special Needs Assistance Programs, HUD's Office of Inspector General, HUD's

Office of Fair Housing and Equal Opportunity or another federal agency to determine whether the sub-grantee complied with the requirements of this program.

A programmatic monitoring includes but is not limited to the following:

- Program participant files
- Intake packets
- Discharge/appeals documents
- Prescreening tools
- Personnel policy manual
- Agency policy and procedure manual
- Board of Director information (meeting minutes, committee information, etc.)
- Location of program participant files
- Staff training documentation

HMIS

The ESG sub-grantees are required to report program participant-level data, such as the number of persons served and their demographic information, in a Homeless Management Information System (HMIS) database. HMIS is an electronic data collection system that facilitates the collection of information on persons who are homeless or at risk of becoming homeless that is managed and operated locally.

Please note that domestic violence programs are exempt from the HMIS requirement, however they will be required to provide aggregate data for reporting purposes.

Sub-grantee Reporting Requirements

Sub-grantees must be able to track and report ESG activities, program participant data and spending separate from other activities. Minimum reporting requirements will include quarterly reports, annual reporting and close out reporting. Sub-grantees will report on outputs, such as the number of persons served, the demographic characteristics of persons served and outcomes related to housing stability.

Program Guideline Amendments

All updates will be included as amendments to the program guidelines. These amendments will be posted along with the program guidelines on DHCD's website and will be sent to the agency contact(s).

Sub-grantees are responsible for assuring that the contact information that DHCD has on record for the agency remains up-to-date. Sub-grantees are responsible for assuring program compliance based on the most up-to-date program guidelines including all to-date amendments.

Other Requirements

This section outlines several additional federal requirements with which ESG-funded sub-grantees must comply. These requirements include:

- Non-Discrimination and Equal Opportunity;

- Lead-based Paint;
- Conflict of Interest; and
- Limits on Funding to Primarily Religious Organizations.

Non-discrimination and Equal Opportunity

The use of ESG funds requires that the sub-grantee make facilities and services available to all on a nondiscriminatory basis and publicize this fact. The procedures that a sub-grantee uses to convey the availability of such facilities and services should reach persons with handicaps or persons of any particular race, color, religion, sex, sexual orientation, age, familial status or national origin within their service area who may qualify for them. If not, the sub-grantee must establish additional procedures that will ensure that these persons are made aware of the facilities and services. Sub-grantees must adopt procedures to disseminate information to anyone who is interested regarding the existence and location of handicap accessible services or facilities.

Fair Housing and Americans with Disabilities Act

The Fair Housing law does not intend to prohibit property owners, managers and program administrators from valid inquiries into an applicant's ability to meet lease requirements and/or program eligibility requirements as set forth in federal or state programs. However, there are certain rules to which sub-grantees must adhere. Sub-grantees should also understand the Fair Housing laws when working with landlords in obtaining housing for the program participants.

If the provision of supportive services is part of the housing program, then these services should be provided in a non-discriminatory manner based on written program eligibility policies and procedures. No provider is required to take any action which would fundamentally alter the nature of the program in order to accommodate the disability of an applicant or tenant.

Restriction of Children/Handicapped in Housing: There can be no restriction as to where persons may reside in housing with the exception of federal or management priorities for certain adapted or accessible units. Accepting or rejecting applicants on the basis of the ability to evacuate safely is not allowed. Accepting or rejecting program participants based on the age of the children is not allowed.

Legal and Illegal Questions - The Fair Housing Law clearly defines legal and illegal questions for all applicants of all housing in the United States. It is unlawful to make an inquiry to determine whether an applicant for a dwelling, a person intending to reside in that dwelling after it is sold, rented or made available, or any person associated with that person, has a handicap or to make inquiry as to the nature or severity of a handicap of such a person.

However, the following inquiries can be made, **provided these inquiries are made to all applicants, whether or not they have handicaps:**

- Inquiry into an applicant's ability to meet the requirements of ownership or tenancy;
- Inquiry to determine whether an applicant is qualified for a dwelling available only to persons with handicaps or to persons with a particular type of handicap;

- Inquiry to determine whether an applicant for a dwelling is qualified for a priority available to persons with handicaps or to persons with a particular type of handicap;
- Inquiry to determine whether an applicant for a dwelling is a current illegal abuser or addict of a controlled substance;
- Inquiry to determine whether an applicant has been convicted of the illegal manufacture or distribution of a controlled substance.

A manager or owner is never required to make available a dwelling to an individual whose tenancy would constitute a direct threat to the health or safety of other individuals, or whose tenancy would result in substantial physical damage to the property of others.

Sub-grantees must be in compliance with Fair Housing and Americans with Disabilities Act requirements. Further information can be found at <http://www.ada.gov> and <http://www.hud.gov/offices/fheo/FHLaws/index.cfm>.

Four types of obligations must be met:

1. Implementation of nondiscriminatory policies and procedures;
2. Making reasonable accommodations as necessary in policies and procedures in order to provide equal enjoyment and use of their services;
3. Providing auxiliary aids and services as necessary for effective communication (within a reasonable accommodation standard); and
4. Providing physical access to and within the shelter (to the extent it is "readily achievable" to do so).

Additional guidance can be found at

http://www.nlchp.org/content/pubs/Q&A_DV_CivilRightsJuly%2020091.pdf.

Conflict of Interest

Sub-grantees must avoid any conflict of interest in carrying out activities funded by state or federal grants dollars, such as the Emergency Solutions Grant program. Generally, this means that a person who is an employee, otherwise in a decision-making position, or has information about decisions made by the organization (such as an agent, consultant, volunteer, officer or elected or appointed official of the grantee or recipient) may not obtain a personal or financial interest or benefit from the organization's activity, including through contracts, subcontracts or agreements. This exclusion continues during the employee's tenure and for one year following employment.

As part of general guidelines for the procurement of goods and services using federal funding (such as ESG), organizations are required to have a "code of conduct" or "conflict of interest" policy in place that prohibits employees, officers, agents or volunteers of the organization from participating in the decision making process related to procurement if that person, or that person's family, partner or any organizations employing any of the above has a direct financial interest or benefit from that procurement. In addition, these persons may not accept any gratuity, favors or anything of monetary value from a contractor, consultant or other entity whose services are procured for the organization. Organizations should develop standards for avoiding such apparent or potential conflicts. Such standards must include a written

policy that is part of the employee policies. Employees, board members, and volunteers are required to sign a statement indicating that they have read the policy and will comply.

Limits on Funding to Primarily Religious Organizations

In order to uphold the basic provision of separation of church and state, a number of conditions apply to the provision of ESG funding to organizations that are primarily religious in nature. These provisions generally require that when funded under the ESG program, the religious organization will provide services in a way that is free from religious influences and in accordance with the following principles:

- The organization will not discriminate against any employee or applicant for employment on the basis of religion, and will not limit employment or give preference in employment on the basis of religion.
- The organization will not discriminate against, limit services provided to, or give preference to any person obtaining shelter, other service(s) offered by the project, or any eligible activity permissible under the ESG program on the basis of religion and will not limit such service provision or give preference to persons on the basis of religion.
- The organization will not provide religious instruction, counseling, religious services, worship (not including voluntary nondenominational prayer before meetings), engage in religious proselytizing, or exert other religious influences in the provision of shelter or other eligible ESG activities.

Requiring that a program participant attend religious services or meetings as a condition of receiving other social services at the organization (such as shelter or a meal) is not allowed under this provision. Allowing participants to choose to take part in services or meetings offered by the organization as they wish, separate from the ESG-funded activities provided, is allowable.

In making an application to receive ESG funding, it is not necessary for the religious organization to establish the separate, secular organization (501 (c) 3) prior to submitting the application or prior to its selection, but may apply on behalf of the secular organization to be established. The application is reviewed on the basis of the religious organization's financial responsibility, capacity and its commitment to provide appropriate resources to the secular organization after its formation. After formation, the secular organization will be required to demonstrate that it meets the definition of a nonprofit organization. Obligation of DHCD's ESG funds will be conditioned upon compliance with these requirements.

Minority-Owned and Women-Owned Business and Section 3

Minority and women's business enterprise outreach requirements apply to all Housing and Urban Development (HUD) programs administered by DHCD including ESG. DHCD applicable sub-grantees and sub-recipients that receive DHCD-administered HUD funds are required to facilitate participation by women-owned and minority-owned business enterprises. This includes maintaining and reporting applicable contract information for all applicable contracts and sub-contracts funded with any HUD funds awarded through DHCD.

All applicable contracts or sub-contracts using ESG funds in the amount of \$10,000 or more to any for-profit entity within the given reporting period must be reported to DHCD in accordance with specific program guidelines.

Sub-contracts between DHCD's sub-grantee or sub-recipient and another non-profit or unit of government do not trigger this reporting requirement.

The **Section 3** program requires that recipients of certain HUD financial assistance, to the greatest extent possible, provide job training, employment, and contract opportunities for low- or very-low income residents in connection with projects and activities in their neighborhoods.

Reportable data elements include, but are not limited to the following:

- Amount of the contract or subcontract
- Type of trade
- Contractor/subcontract racial/ethnic code
- Designation as Women-owned business (yes/no)
- Primary contractor ID number
- Designation as Section 3 Contractor (yes/no)
- Subcontractor ID number
- Contractor/Subcontractor name
- Contractor/Subcontractor address

Proposal Evaluation Criteria

All proposals received by the deadline (5 P.M. on Friday, April 15, 2011) that meet minimum threshold requirements will be reviewed and ranked by a proposal review panel.

Threshold Criteria:

- Eligible applicant
- If multiple proposals, no shared program components
- Eligible activities
- Proposal received on or before deadline

All proposals meeting the minimum threshold requirements will be reviewed, scored and ranked through a panel review process based on the following criteria:

- Need (maximum 40 points)
 - Does the proposal seek to fill what would otherwise be a gap in homeless services for this specific geographic area?
 - Does the proposal support local coordinated efforts?
 - Level of coordination with other providers
 - Level of community planning
 - Does the proposal (proposed budget and budget narrative) demonstrate a need for the requested funding?
 - Is there clearly a demand for the program in the area?
 - How critical is the need in the area?
 - Does the proposed program include any special features that would enhance the proposal's ability to meet the target population's needs?
 - How credible is the evidence to support the local need?
- Approach (maximum 30 points)
 - How experienced is the applicant with providing similar services and assistance?
 - How experienced is the applicant in working with the target population?
 - How well is the proposal coordinated with other activities and funding sources in the area?
 - Does the proposed program appear to be based on proven methods and/or is the program able to demonstrate good outcomes?
 - Do the program costs appear reasonable?
 - Do the program outcomes and objectives appear reasonable?
 - Does the proposal support Federal and State goals?
 - Individuals and families experiencing homelessness access permanent housing in a timely manner
 - Reduction in the length of shelter stay
 - Prevention of homelessness
- Capacity (maximum 30 points)
 - How experienced is the applicant with providing similar services and assistance?
 - Does there appear to be a plan for appropriate program oversight?

- Does the applicant demonstrate effective grant management experience?
- Does the applicant demonstrate adequate capacity for data collection and reporting?
- How many, and what type of findings, concerns or other compliance issues has the agency had during the 2010-11 program year?
- To what degree does the program leverage other resources?

Proposals must score a minimum of 60 points in order to be eligible to receive funding through this program. Funding offers will be issued based on scores until all funds are committed. DHCD reserves the right to make adjustments to ESG requested amounts. DHCD reserves to right to make provisional funding commitments in order to address local needs.

Application Instructions

General Directions

Applicants should reference these accompanying materials for details on applicant eligibility, eligible/ineligible activities, program participant eligibility and other program requirements.

Submission Requirements

Applications for ESG funding must be received at DHCD by 5:00 PM Friday, April 15, 2011. Applications received after the deadline will not be accepted and the applicant will not be considered for funding.

Applications will be reviewed and scored “as is.” Missing and/or incomplete information will negatively impact the overall proposal score.

Applicants must submit **one unbound original and five unbound copies** of the application and all required documents. Applications should be mailed to:

Nichele Carver, Program Manager
Homeless and Special Needs Housing
Department of Housing and Community Development
Main Street Centre
600 East Main Street, Suite 300
Richmond, Virginia 23219

Hand delivered applications must be received at DHCD by the deadline. Please request a receipt upon delivery.

Hand written applications will not be accepted. Attachments (originals) must have original signatures.

All narratives must be single spaced in 12 point font Arial with one inch margins.

The complete legal name of the applicant organization and the program must appear in the upper right corner of each page.

Applications should be assembled in the order of the application with page numbers.

All questions regarding the application should be directed to Kathy Robertson at 804-225-3129 or kathy.robertson@dhcd.virginia.gov.

DHCD is offering a “How to Apply” conference call and two in-person “How to Apply” workshops for prospective sub-grantees. Both the conference call and the workshops will review program parameters and application requirements. While it is not mandatory, it is highly recommended that all applicants participate at minimum in the conference call.

The "How to Apply" conference call will be held as follows:

How to Apply conference call:

Wednesday, March 16, 2011

2:30 PM to 4:00 Noon

To access the conference call:

Dial 866-842-5779 (toll free)

The access code for this call is:

804 371 7100

The "How to Apply" in-person workshops will be held as follows:

Richmond, Thursday, March 17, 2011

10:00 PM to 12:00 Noon

Roanoke, Monday, March 21, 2011

1:00 PM to 3:00 Noon

Applicants must email Nichele Carver at nichele.carver@dhcd.virginia.gov to register for the in-person workshops by Monday, March 14, 2011. Workshop details include location will be provided to registered attendees.

DHCD anticipates the announcement of awards by July 1, 2011.

Any updates related to this funding will be posted on DHCD's website at www.dhcd.virginia.gov. It is incumbent upon the interested parties to check for updates.



ESG Application

Applicants must not submit multiple proposals that share any of the same program components.

Applicant Name:

Program Name:

Program Type (please note the application must be for only ONE of the following):

Emergency Shelter

Transitional Housing

Prevention

Rapid Re-housing (includes transition-in-place)

OR

Homeless Services Program, includes two or more of the following (check all that apply):

- () Emergency Shelter
- () Transitional Housing
- () Rapid Re-Housing
- () Prevention

1. Is this organization a 501 C 3? (a) YES NO PENDING

Is this organization a unit of local government? (b) YES NO

2. Please check all that apply to the applicant:

- (a) Current on 990 filing
- (b) No findings on most recent agency financial audit
- (c) No unresolved IRS findings
- (d) No outstanding DHCD findings

3. Applicant – Prior year information

Applicant Prior Year Information 2009-10	
(a) Prior year total <u>agency budget</u> *	\$
(b) Prior total dollar amount of <u>program budget</u>	\$
(c) Prior year <u>number of households</u> served by program	

**Total agency/organizational budget (not program budget). For units of local government only specify appropriate division or department budget. For national non-profits please specify only the local chapter.*

Applicant Legal Name:

Applicant Mailing Address:

DUNS Number:

CCR Number:

Primary Contact Person Name:

Contact Person Position Held:

Telephone Number: (area code)

Email:

Primary service location (full address):

Does this program use scattered site temporary housing? Yes No

Is this a confidential location? Yes No

Please list all known areas this proposed ESG program will provide homeless services (prevention, transitional housing, emergency shelter, case management, and rapid re-housing):

Other Service Area Location (city/county)

**Add additional rows as needed.*

Congressional Districts

In the spaces below please list all applicable Congressional Districts. For information on Virginia Congressional Districts go to:

<http://www.govtrack.us/congress/findyoureps.xpd?state=VA>.

Congressional District (primary location):

Congressional District (services area):

ESG Request

Please provide the one-year funding request in the following table. Note while awards will be made for two-year grant terms structured as one year with a second year renewal the information request is for a *one-year term* and must stay within the program parameters and limitations as specified in the ESG Guidelines.

Total ESG One-Year Request	Amount
ESG Program Request	\$ -
<i>Administrative (local gov't only)</i> <i>Five percent limit</i>	\$ -
Total ESG Request	\$ -

Please complete only one of the following “specific program request” sections (Emergency Shelter, Transitional Housing, Rapid Re-housing, Prevention OR Homeless Services).

ESG Specific Program Request –Emergency Shelter

Please note that applicants must complete only one of the ESG Specific Program Request sections per application. If applying for emergency shelter only, complete this section of the application.

Emergency Shelter Specific Request			
Expenses	ESG Request	Other Funds	Total
Rent (units/facility)	\$ -	\$ -	\$ -
Maintenance	\$ -	\$ -	\$ -
Utilities	\$ -	\$ -	\$ -
Staff	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
Administration*	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

*Five percent limit for local government only.

Explanation:

In this space provide an explanation of the emergency shelter operation ESG request. Be sure to provide appropriate details including explanation of “other” expenses, details of staffing costs for the program and source and status of other funding. For example, if the request will include ESG for rent expenses please explain how rent is specifically used in the operation of the program. Note: a detailed current and proposed program budget (2010-11 and 2011-2012) including all expenses and funding sources must be submitted with this application.

Numbers Served – Emergency Shelter

This section should be completed for emergency shelter applications. In the chart below please provide the program projected numbers served for 2010-2011 and 2011-2012 and the actual numbers served in 2009-10.

	Individuals	Households
Projected Numbers Served (2011-2012)	0	0
Anticipated Number Served (2010-2011)	0	0
Actual Numbers Served (2009-10)	0	0

Please explain any significant differences from year to year:

Current Program Capacity-Emergency Shelter

	Number Individuals Beds	Number of Annual Bed Nights
(2010-11) Capacity	0	0

Explanation:

Current Program Utilization-Emergency Shelter:

	Average Daily Number of Individual Served (2009-10) Actual	Average Daily Number of Individual Served (2010-11) Anticipated
Utilization	0	0

Explanation:

ESG Specific Program Request –Transitional Housing

Please note that applicants must complete only one of the ESG Specific Program Request sections per application. If applying for transitional housing only, complete this section of the application.

Transitional Housing Specific Request			
Expenses	ESG Request	Other Funds	Total
Rent (units/facility)	\$ -	\$ -	\$ -
Maintenance	\$ -	\$ -	\$ -
Utilities	\$ -	\$ -	\$ -
Staff	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
Administration*	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

*Five percent limit for local government only.

Explanation:

In this space provide an explanation of the transitional housing operation ESG request. Be sure to provide appropriate details including explanation of “other” expenses, details of staffing costs for the program, and source and status of other funding. For example, if the request will include ESG for rent expenses please explain how rent is specifically used in the operation of the program. Note: a detailed current and proposed program budget (2010-11 and 2011-2012) including all expenses and funding sources must be submitted with this application.

Numbers Served –Transitional Housing

This section should be completed for transitional housing applications. In the chart below please provide the program projected numbers served for 2010-2011 and 2011-2012 and the actual numbers served in 2009-10.

	Individuals	Households
Projected Numbers Served (2011-2012)	0	0
Anticipated Number Served (2010-2011)	0	0
Actual Numbers Served (2009-10)	0	0

Please explain any significant differences from year to year:

Current Program Capacity –Transitional Housing

	Number Individuals Beds	Number of Annual Bed Nights
(2010-11) Capacity	0	0

Explanation:

Current Program Utilization –Transitional Housing:

	Average Daily Number of Individual Served (2009-10) Actual	Average Daily Number of Individual Served (2010-11) Anticipated
Utilization	0	0

Explanation:

ESG Specific Program Request – Rapid Re-Housing

Please note that applicants must complete only one of the ESG Specific Program Request sections per application. If applying for rapid re-housing only, complete this section of the application.

Rapid Re-Housing Specific Request			
Expenses	ESG Request	Other Funds	Total
Facility costs– service provision location	\$ -	\$ -	\$ -
Financial Assistance			
Staff	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
Administration*	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

*Five percent limit for local government only.

Explanation:

In this space provide an explanation of the rapid re-housing (including transition-in-place) request. Be sure to provide appropriate details including explanation of “other” expenses, details of staffing costs for the program, and source and status of other funding. For example, if the request will include ESG for rent expenses please explain how rent is specifically used in the operation of the program. Note: a detailed current and proposed program budget (2010-11 and 2011-2012) including all expenses and funding sources must be submitted with this application.

Numbers Served – Rapid Re-Housing

This section should be completed for rapid re-housing applications. In the chart below please provide the program projected numbers served for 2010-2011 and 2011-2012 and the actual numbers served in 2009-10.

	Individuals	Households
Projected Numbers Served (2011-2012)	0	0
Anticipated Number Served (2010-2011)	0	0
Actual Numbers Served (2009-10)	0	0

Please explain any significant differences from year to year:

ESG Specific Program Request – Prevention

Please note that applicants must complete only one of the ESG Specific Program Request sections per application. If applying for prevention only, complete this section of the application.

Prevention Specific Request			
Expenses	ESG Request	Other Funds	Total
Facility costs– service provision location	\$ -	\$ -	\$ -
Financial Assistance	\$ -	\$ -	\$ -
Staff	\$ -	\$ -	\$ -
Legal Services	\$ -	\$ -	\$ -
Landlord Mediation	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
Administration*	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

* Five percent limit for local government only.

Explanation:

In this space provide an explanation of the prevention services request. Be sure to provide appropriate details including explanation of “other” expenses, details of staffing costs for the program, and source and status of other funding. For example, if the request will include ESG for rent expenses please explain how rent is specifically used in the operation of the program. Note: a detailed current and proposed program budget (2010-11 and 2011-2012) including all expenses and funding sources must be submitted with this application.

Numbers Served – Prevention Services

This section should be completed for prevention application. In the chart below please provide the program projected numbers served for 2010-2011 and 2011-2012 and the actual numbers served in 2009-10.

	Individuals	Households
Projected Numbers Served (2011-2012)	0	0
Anticipated Number Served (2010-2011)	0	0
Actual Numbers Served (2009-10)	0	0

Please explain any significant differences from year to year:

ESG Specific Program Request – Homeless Services

Please note that applicants must complete only one of the ESG Specific Program Request sections per application. If applying for homeless services, complete this section of the application. Please note that homeless services applications must submit an outcome logic model of their program. For more details on outcome logic model go to:

[http://www.yourunitedway.org/media/Guide for Logic Models and Measurements.pdf](http://www.yourunitedway.org/media/Guide_for_Logic_Models_and_Measurements.pdf).

Homeless Services Request			
Expenses	ESG Request	Other Funds	Total
Facility costs– service provision location	\$ -	\$ -	\$ -
Facility costs– temporary housing locations	\$ -	\$ -	\$ -
Financial Assistance	\$ -	\$ -	\$ -
Staff – emergency or transitional	\$ -	\$ -	\$ -
Staff –Prevention	\$ -	\$ -	\$ -
Staff –rapid re-housing	\$ -	\$ -	\$ -
Legal Services	\$ -	\$ -	\$ -
Landlord Mediation	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
Administration*	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

* Five percent limit for local government only.

Explanation:

In this space provide an explanation of the homeless services request. Be sure to provide appropriate details including explanation of “other” expenses, details of staffing costs for the program, and source and status of other funding sources. For example, if the request will include ESG for rent expenses please explain how rent is specifically used in the operation of the program. Note: a detailed current and proposed program budget (2010-11 and 2011-2012) including all expenses and funding sources must be submitted with this application.

Numbers Served –Homeless Services

This section should be completed for all homeless services applications. In the charts below please provide the program projected numbers served for 2010-2011 and 2011-2012 and the actual numbers served in 2009-10.

	<i>Individuals</i>	<i>Households</i>
Total Projected Numbers Served (2011-2012)	0	0
Total Anticipated Number Served (2010-2011)	0	0
Total Actual Numbers Served (2009-10)	0	0

	<i>Individuals</i>	<i>Households</i>
Emergency Shelter Projected Numbers Served (2011-2012)	0	0
Emergency Shelter Anticipated Number Served (2010-2011)	0	0
Emergency Shelter Actual Numbers Served (2009-10)	0	0

	<i>Individuals</i>	<i>Households</i>
Transitional Projected Numbers Served (2011-2012)	0	0
Transitional Anticipated Number Served (2010-2011)	0	0
Transitional Actual Numbers Served (2009-10)	0	0

	<i>Individuals</i>	<i>Households</i>
Rapid Re-housing Projected Numbers Served (2011-2012)	0	0
Rapid Re-housing Anticipated Number Served (2010-2011)	0	0
Rapid Re-housing Actual Numbers Served (2009-10)	0	0

	<i>Individuals</i>	<i>Households</i>
Prevention Projected Numbers Served (2011-2012)	0	0
Prevention Anticipated Number Served (2010-2011)	0	0
Prevention Actual Numbers Served (2009-10)	0	0

Please explain any significant differences from year to year:

All applications should include the following information:

Target Population

Please describe the program target population.

Need Narrative

Please describe what local needs and service gaps this program seeks to fill or currently fills. Be sure to note any supporting evidence for this need. This should be specific to the proposed service area.

Program Description

Please describe the proposed program. Be sure to include details on the following:

- Outreach methods;
- Details of the types of assistance and services that will be provided to the individuals/households in the program;
- Explain specific triage and screening processes that will be used;
- Details on the length of the program;
- Explain how the program will shorten the length of time that households are homeless (on streets, in emergency shelter, and/or transitional housing);
- How service will be coordinated with other programs within the agency and within the larger community (including mainstream services);
- Program outcomes (current and/or projected); and
- If applicable, explain how the program will prevent homelessness.

Collaboration

Please describe the key collaborations (current and/or proposed) specific to this program.

Organizational Capacity

Please describe your agency's capacity to provide homeless and/or prevention services.

HMIS Current Capacity and Plans

Describe in detail your agency's current and proposed levels of HMIS capacity.

Approval of Authorized Official (For the Applicant)

Signature

Title

Name (Printed or Typed)

Date

Required Documentation	
<i>Type</i>	<i>Attached</i>
Documentation of Non-Profit Status	<input type="checkbox"/>
Relevant M.O.U.s/Written Agreements/Service Contracts (specific to this program) – if applicable	<input type="checkbox"/>
Fire Inspection Report (most recent) – if applicable	<input type="checkbox"/>
Program Fee Policy and Agreement – if applicable	<input type="checkbox"/>
Agency Budget (current year – must include all programs and funding sources)*	<input type="checkbox"/>
Detailed Program Budget (including expenses and revenue) current year (2010-11) and proposed (2011-12)	<input type="checkbox"/>
Continuum of Care Participation Certification	<input type="checkbox"/>
Certifications and Assurances	<input type="checkbox"/>
Most Recent Audit**	<input type="checkbox"/>
Local Government Certification	<input type="checkbox"/>
Outcome Logic Model (required for Homeless Services Applications)	<input type="checkbox"/>
Process Map /Flow Chart (optional)	<input type="checkbox"/>

*Units of government should provide department or agency budget.

**Not applicable if DHCD already has a copy of the applicant's most recent audit.

Continuum of Care Participation Certification

DHCD considers the following to be a working definition: An “active member agency/ organization/service provider” of a local Continuum of Care (CoC) is one that attends at least 51 percent of the overall CoC meetings, serves on at least one committee and contributes work hours and staffing in the CoC application process by writing sections, proof reading, and/or researching, etc.

DHCD acknowledges that Continuums of Care are unique organizations, specifically tailored to fit the needs and available resources within a community. For this reason, if the local CoC uses a different definition to describe “active member agency/organization”, please enter it in the box provided and describe how the organization works within that framework:

ESG Applicant Name:

Continuum of Care Name :

My signature below attests that this ESG applicant agency/organization:

1. Is an active participant, of the above named Continuum of Care, according to DHCD’s working definition or another stated definition:

Yes

No

If no, please provide an explanation:

2. Is filling a gap, or the lack of this established program, would cause hardship for homeless individuals and/or families, in our community’s continuum of services by providing services and/or shelter through their programs

Yes

No

Signature of Continuum of Care Chairperson

Date

Printed Name, Title

Agency

CERTIFICATIONS AND ASSURANCES

I, _____ (*enter name*), authorized representative of _____ (*enter name of organization*) on behalf of the organization do hereby certify that, if an award is received, the organization will conform to all programmatic regulations, guidelines and requirements set forth in the application for the 2010-11 program year, in the grant agreement, and in the program guidelines while conducting grant activities for the program funded.

To this end, I certify/assure the following:

1. The program supported by grant funds will be delivered on a non-discriminatory basis consistent with the Fair Housing Act of 1988 and the Virginia Fair Housing Law;
2. The organization will provide all activities under the program in a manner that is free from religious influence;
3. The organization will not require a fee or donation as a condition for receiving emergency shelter or related services;
4. The organization operates in a facility that is in compliance with applicable state and local health, building, and fire safety codes, meeting the U. S. Department of Housing and Urban Development's Housing Quality Standards and Habitability Standards as a minimum, or agrees to make necessary improvements/repairs for code compliance;
5. The organization shall maintain and operate under a standardized set of procurement procedures designed to assure efficient and proper expenditure of grant funds;
6. The organization will administer a policy to ensure each homeless facility is free from the illegal use, possession or distribution of drugs or alcohol by its employees and/or beneficiaries;
7. The organization will maintain and operate under a standardized conflict of interest procedure for employees and members of the board;
8. The organization will insure the confidentiality of victims of domestic violence;
9. The organization will adhere to 24 CFR Part 85 and OMB A-87;
10. The organization (unless a unit of local government) was incorporated under Virginia law on _____; and
11. The organization (unless a unit of local government) has received Federal tax-exempt status under Section 501 (c) of the U. S. Internal Revenue Code.

Signature of Authorized Representative

Date

Title of Authorized Representative (*print or type*)

LOCAL GOVERNMENT CERTIFICATION

I, ___(*enter name and title*), duly authorized to act on behalf of (*enter name of jurisdiction*) ___ hereby approve the following program proposed by (*enter name of nonprofit organization*) ___ which is (are) located in (*enter name of all applicable jurisdictions*) ___

Signature of Authorized Local Government Official

Date

Name and Title of Authorized Local Government Official

Program Name: (required for homeless services proposals)
LOGIC MODEL

**Longer term
or
Ultimate
Outcomes**



**Intermediate
Outcomes**



**Initial
Outcomes**



Outputs

Activities

Inputs

OUTCOMES FRAMEWORK

Agency:

Program:

Describe the **specific need** that is being addressed by this program:

Describe the **specific target** group that is served in this program:

Outcome	Indicators	Relevant Clients for the Indicator	Performance Target	Data Source	Methods

OUTCOMES FRAMEWORK (continued)

Agency:

Program:

Outcome	Indicators	Relevant Clients for the Indicator	Performance Target	Data Source	Methods