



**Emergency Shelter Grant
Program Guidelines and Application
2010-11 Program Year
Due Date: Friday, March 26, 2010**

Emergency Shelter 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 five 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 goal of the state ESG program is that individuals and families experiencing homelessness obtain and maintain appropriate permanent housing. DHCD will meet these objectives through supporting effective shelter and transitional housing operations.

Sub-grantees will be selected for the July 1, 2010 - June 30, 2011 program year based on a competitive application process.

Funding Levels

The total available funding through this application is approximately \$1,600,000 for a one-year grant term (July 1, 2010 – June 30, 2011).

DHCD does not anticipate making any awards greater than \$50,000.

Any unused or underutilized sub-grantee awards will be de-obligated at the end of the grant term to be allocated during the 2011-12 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 either emergency shelter or transitional housing 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

Eligible proposals include emergency shelter or transitional housing programs located in non-ESG entitlement localities in Virginia. Shelter and transitional housing programs located in an ESG entitlement area are ineligible for the Virginia state ESG program.

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 control and fiscal accounting procedures 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 experiencing homelessness.

Applicants must be involved in their local Continuum of Care (CoC). 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"> • Lenowisco • Cumberland Plateau • Hope Continuum of Care • New River Valley - Housing Partnership of the New River Valley • Piedmont Housing Network • Southside • Piedmont (PD 14) • Five Rivers Continuum of Care • 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 shelters are exempt from the HMIS requirement, however these types of programs 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 provider*
- *Must be able to meet recordkeeping and reporting requirements including HMIS utilization*
- *Must be able to meet HMIS requirements (exception of domestic violence shelters)*
- *Must be certified as local CoC participant*
- *Must have proposal certified as meeting local CoC needs*

Eligible Programs/Activities

Eligible programs are emergency shelter and transitional housing programs targeting individuals and/or families experiencing homelessness. ESG eligible expenses for reimbursement under this grant include only expenses incurred by the sub-grantee for the operation of the specific programs funded through ESG.

Emergency shelter programs provide temporary shelter for the homeless in general or for specific populations of the homeless. Emergency shelter programs tend to be short-term, less than six months. Please note that the lead-based paint requirement applies for programs 100 days or more in duration.

Domestic Violence shelter programs applying for ESG would be applying for emergency shelter ESG operation assistance through this program and must be targeted and serving program participants fleeing a domestic violence housing situation where no subsequent, appropriate residence has been identified and the person lacks the resources and support networks needed to obtain housing.

Transitional housing is a type of supportive housing used to facilitate the movement of homeless individuals and families to permanent housing. It is housing in which homeless persons may live for up to 24 months and receive supportive services that enable them to live more independently. The supportive services may be provided by the organization managing the housing or coordinated by them and provided by other public or private agencies.

Funds received through this grant may be used for maintenance, operation, insurance, utilities and furnishings, and shelter staff (limited to ten percent of the total award).

Staff salaries (including fringe benefits) paid under the operating costs category are limited to 10 percent of the grant. Shelter staff salaries include salaries paid to direct employees of the sub-grantee and staff salaries paid through contract services. Maintenance and security salary costs are not subject to the 10 percent standard. For example, a grantee receiving a \$75,000 ESG grant would be able to pay only \$7,500 (or 10 percent of that amount) for operational staff costs.

Sub-grantees must provide copies of any contract service agreements that would be reimbursed with ESG. DHCD will review and approve any service contracts applicable to the ESG funding.

Ineligible operating or maintenance costs include, but may not be limited to:

- Recruitment or on-going training of staff
- 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
- Bad debts/late fees
- Mortgage payments
- Indirect costs

The sub-grantee or any subsidiary of the sub-grantee may not be reimbursed for rent on any property that the sub-grantee or subsidiary owns or holds a mortgage. The only eligible rent that may be expensed to the ESG program is actual rent incurred by the sub-grantee specific to the program and not covered by another funding source.

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

Any proposal submitted for funding under ESG shelter operations must be target-population specific. Examples include:

- Family Transitional Housing
- Thermal Shelter
- Single Men's Shelter
- Domestic Violence Shelter*
- Women's Transitional

** Domestic Violence shelter programs applying for assistance through ESG must be targeted and serving program participants fleeing a domestic violence housing situation where no subsequent, appropriate residence has been identified and the person lacks the resources and support networks needed to obtain housing.*

Client Rent Requirements

Sub-grantees may not require client rent. In some cases, sub-grantees may collect a program fee, but not rent. Please see *Program Fees* section for details.

A program participant required savings plan could be implemented for transitional housing programs but the amount of required program participant savings may not to exceed 30 percent of household income. Standard accounting procedures must be assured if savings are managed at a program or agency level.

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 appropriate to the target population, used to provide services within the program, and be approved by DHCD.

Documentation of Homelessness

Documentation of participants' homelessness situation is an important aspect of ESG program compliance. ESG sub-grantees are required to maintain adequate documentation of homelessness status to determine the eligibility of persons served by HUD's homeless assistance 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* (required documentation) and any supporting documentation must be maintained in the client file.

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

HUD defines homelessness using the following definition: A homeless person is someone who is living on the street or in an emergency shelter, or who would be living on the street or in an emergency shelter without HUD's homelessness assistance. A person is considered homeless only when he/she resides in one of the places/circumstances described below:

- In places not meant for human habitation, such as cars, parks, sidewalks, abandoned buildings, on the street;
- In an emergency shelter;
- In transitional or supportive housing for homeless persons who originally came from the streets or emergency shelters;
- In any of the above places but is spending a short time (up to 30 consecutive days) in a hospital or other institution;
- Is being evicted within a week from a private dwelling unit and no subsequent residence has been identified and the person lacks the resources and support networks needed to obtain housing or their housing has been condemned by housing officials and is no longer considered meant for human habitation;
- Is being discharged within a week from an institution in which the person has been a resident for more than 30 consecutive days and no subsequent residence has been identified and the person lacks the resources and support networks needed to obtain housing; or
- Is fleeing a domestic violence housing situation and no subsequent appropriate residence has been identified and the person lacks the resources and support networks needed to obtain housing.

Termination of Participation and Grievance Procedure

Sub-grantees may terminate assistance provided by ESG-funded activities to participants who violate program requirements. The termination, however, must allow for the due process of the terminated participant's rights 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. For example, the sub-grantee staff might verbally explain the procedures to participants upon entry, intake, or orientation to the ESG-funded program and make the procedures readily available to participants either with written information or by posting the policy 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 needed contact DHCD for more details.

All 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 ESG program participants fleeing domestic violence situations, ESG sub-grantees are required to develop and implement procedures to guarantee the confidentiality of records concerning program participants.

Habitability Standards

All facilities and housing units where program participants reside 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.

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
- 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, 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
- Cash management procedures
- Procurement procedures
- Property controls
- Annual Audit

Audits

All sub-grantees receiving a total of \$500,000 or more in federal 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 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 times, not percentages. Likewise, 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.

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.

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 shelters are exempt from the HMIS requirement, however these types of programs 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 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 Emergency Shelter Grants amounts 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.

Lead-based Paint Requirements

The purpose of these requirements is to ensure that housing receiving federal assistance does not pose lead-based paint hazards to young children. As such, ESG sub-grantees are subject to the requirements, as applicable, of the Lead-Based Paint Poisoning Prevention Act (LBPPPA) and the Act's implementing regulations at 24 CFR Part 35 (see Memorandum summarizing the Rule's requirements and effective dates at: http://www.hud.gov/lea/donovan_letter.pdf).

Since the ESG program deals primarily with the operation of short-term emergency shelters ESG is governed by Subpart K of the Lead-Based Paint Hazard regulations. According to the Interpretive Guidance (http://www.hud.gov/lea/1012QA_final_sept21.PDF) to the regulations,

most emergency shelters (stays of 100 days or less) are exempt from the lead-based paint regulations. Thus, emergency housing using efficiencies, studio apartments, dormitories, single room occupancy units, barracks, group homes, or room rentals in residential dwellings are all excluded from the lead-based paint requirements.

The ESG-assisted housing covered under the lead-based paint requirements is longer-term emergency or transitional housing in an apartment with one or more bedrooms AND which has family residents who are part of a program requiring continual residence of more than 100 days.

In ESG projects where the residents select their own housing or where the grantee or recipient provides services such as housing search and homeless prevention services such as first month's rent, the units selected must be free from lead-based paint contamination.

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; and
4. Notification as described above.
5. Include a completed Lead Visual Assessment form in applicable client 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 6 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.

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 Shelter 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 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.

Proposal Evaluation Criteria

All proposals received by the deadline (5 P.M. on Friday, March 26, 2010) that meet minimum threshold requirements will be reviewed and ranked by a proposal review panel.

Threshold Criteria:

- Proposal meets all pre-screening threshold criteria
 - Eligible applicant
 - Eligible activities
- Proposal received on or before deadline
- Budget within costs category limits (e.g., Staff salary ten percent or less)

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 50 points)
 - Does the proposal seek to fill what would otherwise be a gap in homeless services for this specific geographic area?
 - Does the proposal (proposed budget and budget narrative) demonstrate a need for the requested funding?
 - Is there clearly a demand for the shelter or transitional housing beds 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?
 - What is the specific target population?
- Approach (maximum 25 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?
- Capacity (maximum 25 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 2009-10 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.

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, March 26, 2010. 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:

Kathy Robertson, Associate Director
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.

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

DHCD is offering two “How to Apply” conference calls for prospective sub-grantees. These conference calls will review program parameters and application requirements. While it is not mandatory, it is highly recommended that all applicants participate in one of the conference calls.

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

How to Apply Conference Calls:

Thursday, February 18, 2010	10:00 AM to 12:00 Noon
Thursday, February 18, 2010	1:00 PM to 3:00 PM

To access the conference call:

Dial 866-842-5779 (toll free)

The access code for this call is:

8043717100

DHCD anticipate announcements of awardees by July 1, 2010.

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



ESG Application

Applicant Name:

Program Name:

Program Type:

Emergency Shelter

Transitional Housing

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	
(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.*

ESG Request

Please provide the funding request in the following table. Note the request is for a *one-year term* and must stay within the program parameters and limitations as specified in the ESG Guidelines.

Total ESG Request	Amount
Operations –excluding staff salaries	\$ -
Operations –staff salaries	\$ -
<i>Administrative (local gov't only)</i>	\$ -
Total ESG Request	\$ -

Please identify and explain the specific types of shelter operation costs (excluding staff salaries) anticipated:

Operations –excluding staff salaries	
Rent	\$ -
Maintenance	\$ -
Utilities	\$ -
Other*	
Total Operation (excluding staff salaries) Request	\$ -

* Must include details in explanation.

Explanation:

In this space provide an explanation of the shelter operation ESG request (not including staff salaries). Be sure to provide appropriate details. 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 current and proposed program budget (2009-10 and 2010-2011) that includes all expenses and revenue sources must be submitted with this application.

Please identify the specific types of shelter operation costs (staff salaries) anticipated:

Operations –staff salaries (ten percent limit)	
Position/function	\$ -
Position/function	\$ -
Position/function	\$ -
Total Operation (staff salaries) Request	\$ -

Explanation:

In this space provide an explanation of the shelter operation ESG request (staff salaries). Note: a current and proposed program budget (2009-10 and 2010-2011) that includes all expenses and revenue sources must be submitted with this application.

Target Population

Please describe the program target population.

Numbers Served

In the chart below please provide the program projected numbers served for 2009-2010 and 2010-2011 and the actual numbers served in 2008-09.

	<i>Individuals</i>	<i>Households</i>
Projected Numbers Served (2010-2011)	0	0
Anticipated Number Served (2009-2010)	0	0
Actual Numbers Served (2008-09)	0	0

Please explain any significant differences from year to year:

Current Program Capacity

	<i>Number Individuals Beds</i>	<i>Number of Annual Bed Nights</i>
(2009-10) Capacity	0	0

Explanation:

Current Program Utilization:

	<i>Average Daily Number of Individual Served (2008-09) Actual</i>	<i>Average Daily Number of Individual Served (2009-10) projected</i>
Utilization	0	0

Explanation:

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:

- Target population
- Outreach methods
- Details of the types of assistance and services that will be provided to the individuals/households in the program
- Details on the length program
- How service will be coordinated with other programs (including mainstream services)
- Program outcomes (current and/or projected)

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 shelter services (emergency and transitional housing).

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)	<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 (2009-10) and proposed (2010-11)	<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"/>

*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

Emergency Shelter Grant Program (ESG) HOMELESS CERTIFICATION

ESG Applicant Name: _____

Household without dependent children (complete one form for each adult in the household)

Household with dependent children (complete one form for household)

Number of persons in the household: _____

This is to certify that the above named individual or household is currently homeless based on the check mark, other indicated information, and signature indicating their current living situation.

Check only one box and complete only that section

Living Situation: place not meant for human habitation (e.g., cars, parks, abandoned buildings, streets/sidewalks)

The person(s) named above is/are currently living in (or, if currently in hospital or other institution, was living in immediately prior to hospital/institution admission) a public or private place not designed for, or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus station, airport, or camp ground.

Description of current living situation:

Homeless Street Outreach Program (if applicable) Name:

This certifying agency must be recognized by the local Continuum of Care (CoC) as an agency that has a program designed to serve persons living on the street or other places not meant for human habitation. Examples may be street outreach workers, day shelters, soup kitchens, Health Care for the Homeless sites, etc.

Authorized Agency Representative Signature: _____

Date: _____

Living Situation: Emergency Shelter

The person(s) named above is/are currently living in (or, if currently in hospital or other institution, was living in immediately prior to hospital/institution admission) a supervised publicly or privately operated shelter as follows:

Emergency Shelter Program Name:

This emergency shelter must appear on the CoC's Housing Inventory Chart submitted as part of the most recent CoC Homeless Assistance application to HUD or otherwise be recognized by the CoC as part of the CoC inventory (e.g. newly established Emergency Shelter).

Authorized Agency Representative Signature: _____

Date: _____

Living Situation: Transitional Housing

The person(s) named above is/are currently living in a transitional housing program for persons who are homeless. The persons(s) named above is/are graduating from or timing out of the transitional housing program:

Transitional Housing Program Name: _____

This transitional housing program must appear on the CoC's Housing Inventory Chart submitted as part of the most recent CoC Homeless Assistance application to HUD or otherwise be recognized by the CoC as part of the CoC inventory (e.g. newly established Transitional Housing program).

Immediately prior to entering transitional housing the person(s) named above was/were residing in:

emergency shelter OR a place unfit for human habitation

Authorized Agency Representative Signature: _____

Date: _____

ESG Basic Habitability Checklist

Unit or Facility Address
(include street address, city and zip code)

--

Landlord/ Property-owner Contact Information
(include name, company name, mailing address and phone number)

--

	YES	NO
<u>State and local codes.</u> Unit is compliant with all applicable state and local housing codes, licensing requirements, and any other requirements in the jurisdiction regarding the condition of the structure and the operation of the housing or services.		
<u>Structure and materials.</u> The unit is structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the residents from the elements.		
<u>Access.</u> The unit is accessible and capable of being utilized without unauthorized use of other private properties. The unit has alternate means of egress in case of fire.		
<u>Space and security.</u> Each resident is afforded adequate space and security for themselves and their belongings. Each resident must be provided an acceptable place to sleep.		
<u>Interior air quality.</u> Every room or space has natural or mechanical ventilation. Unit is free of pollutants in the air at levels that threaten the health of residents.		
<u>Water supply.</u> The water supply is free from contamination.		
<u>Sanitary facilities.</u> Residents have access to sufficient sanitary facilities that are in proper operating condition, may be used in privacy, and are adequate for personal cleanliness and the disposal of human waste.		
<u>Thermal environment.</u> The unit has adequate heating and/or cooling facilities in proper operating condition.		
<u>Illumination and electricity.</u> The unit has adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of residents. There are sufficient electrical sources to permit the use of essential electrical appliances while assuring safety from fire.		
<u>Food preparation and refuse disposal.</u> All food preparation areas contain suitable space and equipment to store, prepare, and serve food in a sanitary manner.		
<u>Sanitary condition.</u> The unit and any equipment are maintained in sanitary condition.		
<u>Fire safety.</u> Each unit includes at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors are located, to the extent practicable, in a hallway adjacent to a bedroom. If the unit is occupied by hearing impaired persons, smoke detectors have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person.		
<u>Fire safety.</u> The public areas of all units must be equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, community rooms, day care centers, hallways, stairwells, and other common areas.		

Agency Name

Agency Staff Name

Signature

Date

Program Participant Name (if applicable)

Date

Signature

Landlord/ Property-Owner Name

Date

Signature

Lead-Based Paint Visual Assessment

All units in which ESG program participants reside are subject to Lead-Based Paint requirements (not applicable to emergency shelter programs with stays less than 100 days). This form must be completed and included in each program participant file. Individuals completing this form must complete the online HUD <http://www.hud.gov/offices/lead/training/visualassessment/h00101.htm> training.

Program Participant Name: _____

Property Address: _____

Property Owner Name: _____

Check all that apply:

- Property was built after 1978 Year Property Built: _____
- No child under 6 lives with program participant
- Property is zero bedrooms, SRO housing, elderly housing
- Property has been tested and determined to not to contain lead-based paint (attach documentation)
- Property has had lead-based paint hazards removed (attach documentation)

If any items are checked above, no visual assessment is required. Please include appropriate signatures (agency and program participant) and dated.

No items are checked above (Visual Assessment required)

Interior: Is there any peeling, chipping, chalking, or cracking paint?

YES NO

Interior: Deterioration exceeds the de minimis level?

YES NO NA

Exterior: Is there any peeling, chipping, chalking, or cracking paint?

YES NO

Exterior: Deterioration exceeds the de minimis level?

YES NO NA

Common Areas: Is there any peeling, chipping, chalking, or cracking paint?

YES NO NA

Common Areas: Deterioration exceeds the de minimis level?

YES NO NA

Describe Any Action Taken:	
Program Participant: _____	
_____ Signature	_____ Date
Property Owner Name: _____	
_____ Signature	_____ Date
Program Staff Name: _____	
_____ Signature	_____ Date