



State of South Carolina

Office of the Governor

MARK SANFORD
GOVERNOR

OFFICE OF EXECUTIVE
POLICY AND PROGRAMS

To: Units of Local Government and
Non-Profit Homeless Providers

From: Margaret Gibson, OEO Senior Program Manager for ESG

Date: February 14, 2011

**Re: REQUEST FOR APPLICATIONS (RFA)
Emergency Shelter Grants Program
Estimated Budget Available: \$1,474,017**

The Governor's Office of Economic Opportunity (OEO) is soliciting applications for the Program Year 2011 Emergency Shelter Grants (ESG) Program. ESG is a United States Department of Housing and Urban Development (HUD) grant authorized under the 1988 Stewart B. McKinney Homeless Assistance Act. According to the Act, the State may make grants to Units of Local Government and Non-Profit, 501(c)3, Organizations that have certification from their Unit of Local Government to carry out the duties of the grant. ESG funds may be used for the following purposes:

- to help improve the quality of existing emergency shelters for the homeless;
- to help make available additional emergency shelters;
- to help meet the cost of operating emergency shelters;
- to provide certain essential services to homeless individuals so that these persons have access to a safe and sanitary shelter; and
- to alleviate the problem of homelessness through the funding of preventive services and activities, and the provision of financial assistance to those "at risk" of becoming homeless.

All grant funds will be awarded through a competitive process. The maximum award an agency can apply for the PY is \$75,000.

Organizations interested in applying for funds must submit a complete application package in compliance with the requirements stipulated in the Request for Applications (RFA) package (enclosed on compact disk) to the OEO no later than 5:00 p.m. on Friday, April 15, 2011.

Additionally, the RFA package can be found on OEO's website located at <http://www.oep.sc.gov/oep/forms.htm>.

Complete applications should be forwarded to:

SC Governor's Office of Economic Opportunity
1205 Pendleton Street, Room 359
Columbia, SC 29201

Only applications that fully adhere to the RFA and are received on or before April 15, 2011 at 5:00 p.m. will be considered responsive. Faxed applications are not allowable. Post marks will not be considered.

A pre-award workshop to orient prospective applicants on the various program components and the application procedures has been scheduled as follows:

Event: ESG Pre-Award Workshop

Date: February 28, 2011

Time: 10:00 a.m.—3:00 p.m.

Location: Edgar Brown Building, Room 467
1205 Pendleton Street
Columbia, SC 29201

Parking: 25 spaces available in the Visitor Parking Lot

**Parking lot is on the corner of Assembly and Pendleton Street
diagonal to the Wachovia Bank
Security Gate Code—2397**

Units of Local Government are encouraged to circulate this information to all homeless providers within their jurisdiction.

All questions pertaining to the program will be addressed during the workshop. However, if you have any other questions or require additional information, please contact me at (803)734-1266.

Enclosure

c: Kenneth H. McManus, OEO Director
James Irby Jr., OEO Program Coordinator
Shinnell Jones, OEO Program Coordinator
Tanasha Ramsey, OEO Program Assistant
PY 2011 ESG Control File

OFFICE OF THE GOVERNOR
OFFICE OF ECONOMIC OPPORTUNITY

PY 2011 EMERGENCY SHELTER GRANTS PROGRAM

REQUEST FOR APPLICATIONS

Instructions

The Office of the Governor, Office of Economic Opportunity (OEO), is requesting applications for the PY 2011 Emergency Shelter Grants (ESG).

All units of local government and public & private non-profit organizations (**with certification from the unit of local government in their area**) that provide services to the homeless are eligible to apply for ESG funds. One application per agency/organization should be submitted to the OEO for consideration. Private non-profit organizations must have a 501(c)3 certification and be registered in the State of South Carolina with the Secretary of State's office as a charitable organization.

Applications for ESG Program funds must be prepared in accordance with the instructions provided in this Request for Applications (RFA). The contents of the application should be concise and objective. When statistics are cited, the source of the data is to be completely referenced.

Any questions regarding this RFA or the ESG Program should be directed to Margaret Gibson, Senior Manager for ESG, at (803) 734-1266, 1205 Pendleton Street, Room 342, Columbia, South Carolina 29201.

The OEO must receive an original unbound application and three (3) bound copies no later than 5:00 p.m., on Friday, April 15, 2011. Only applications received on or before the due date will be considered for funding. Faxes are not allowed.

OFFICE OF THE GOVERNOR
OFFICE OF ECONOMIC OPPORTUNITY

**PY 2011 EMERGENCY SHELTER GRANTS PROGRAM
REQUEST FOR APPLICATIONS**

PART I: PROGRAM OVERVIEW

A. Scope and Purpose

The State of South Carolina's ESG Program exists as a result of the 1988 Stewart B. McKinney Homeless Assistance Act as codified by 24 CFR Part 576. The program is designed to be the first step in a continuum of assistance to enable homeless individuals and families to move toward independent living as well as to prevent homelessness. According to the Act, the State can make grants to units of local government and non-profit organizations (which have certification from their unit of local government) for the following purposes:

- To rehabilitate or convert buildings for use as emergency shelters for the homeless;
- To assist with the operating expenses of emergency shelters;
- To provide certain essential services in connection with emergency shelters for the homeless; and
- To provide homeless prevention activities.

B. The Program's Clientele

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 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 residence has been identified and the person lacks the resources and support networks needed to obtain housing.

The term "homeless" does not include any individual imprisoned or otherwise detained under an act of Congress or a state law. **The State's one-year goal for the number of homeless individuals to be served is at least 30,000 individuals.**

At risk individuals include people who are at imminent risk of losing their housing because they are being evicted from private dwelling units or are being discharged from an institution and have no primary nighttime residence. **The State's one-year goal for the number of at-risk individuals to be provided with preventive services such as rental assistance is 600 households.**

Note: The grant is also intended to address the need of “*chronically homeless*” individuals, defined by the US Department of Housing and Urban Development (HUD) as:

An unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more OR has had at least four episodes of homelessness in the past three years. To be considered chronically homeless persons must have been sleeping in a shelter or on the street for that time.

Furthermore, HUD defines a “*disabling condition*” as:

A diagnosable substance abuse disorder, serious mental illness, developmental disability or chronic physical illness or disability including the co-occurrence of two or more of these conditions. A disabling condition limits an individual's ability to work or perform one or more activities of daily living.

Discharge Planning

Pursuant to the McKinney-Vento Act, to the maximum extent practicable, persons discharged from publicly funded institutions or systems of care should not be discharged into homelessness, including the streets, shelter, or to HUD McKinney-Vento funded homeless projects.

Homeless Management Information Systems (HMIS)/Endorsement of Participation & Data Quality

Participation in the use of an approved HMIS is mandatory for all ESG subgrantees with the exception of agencies where the primary mission is to serve victims of domestic violence. A comparable client-level database can be utilized for domestic violence shelters/service providers.

In order to assist with the cost of HMIS utilization for ESG subgrantees, a HMIS line item has been added to the ESG Budget Form for use only by a continua of care (CoC) HMIS. Such funding will support costs associated with data entry, training, equipment, and technical support of ESG subgrantees. In the case of a CoC's HMIS applying for ESG, it must include with its application a copy of its latest actual HUD HMIS budget and an assurance that ESG HMIS funding is only utilized to provide services above and beyond that included in the HUD HMIS budget. Additionally, for positions funded either in whole or part with this funding, a name and position description must be included. However, these funds may not be used for planning or development costs of an HMIS.

In addition to having an HMIS, all agencies are required to run a monthly Data Quality Report. This report is to be completed and turned in on the first Friday of every month. The date range on all reports should reflect that of the previous month.

All agencies are required to have endorsement letters from their local Continuum of Care (CofC) and HMIS. These letters should include discussion of the agency's participation in the continuum and the quality of their data.

C. **Amount Limitation**

For the 2011 Program Year, applicants may apply for a maximum amount of \$75,000. There is no minimum amount. Only one application is allowed per agency or organization.

D. **Matching Requirement**

ESG funds require a dollar-for-dollar match. Applicants must submit certification of a local match. A match may either be in the form of a cash contribution or donated/in-kind resources such as the value of buildings, equipment and volunteer services. Resources used for match in previous ESG grants or in other current grants cannot be used for this funding period. Volunteer services will be computed at \$5.00 per hour. [Note: Volunteers providing professional services such as medical or legal services are valued at the reasonable and customary rate in the community.]

For the last 2 years and in the current year, OEO has only been collecting match documentation once during the program year 30 days prior to the end of the year. However, for the 2011 program year OEO will be collecting match documentation four times, once at the end of each quarter.

E. **Eligible Activities**

HUD has now instituted a change whereby there are only two activities: homeless assistance and homeless prevention. Homeless assistance is comprised of the rehabilitation, essential, and operational activity. Homeless prevention is an activity alone.

ESG funds can be expended under the following allowable categories:

1. **RENOVATION, MAJOR REHABILITATION AND CONVERSION—24 CFR 576.3 (See Section F. Use Requirements): Renovations and minor rehabilitation** means rehabilitation that involves costs of 75% or less of the value of the building before rehabilitation. **Conversion and major rehabilitation** means a change in the use of the building where the cost of the conversion and any rehabilitation costs exceed 75% of the value of the building. **Value of the building** means the monetary value assigned to a building by an independent real estate appraiser, or as otherwise reasonably established by the grantee or the State subgrantee. Subgrantees must follow all OEO procurement policies.

ENVIRONMENTAL REVIEW PROCEDURES

The 1988 McKinney Amendment Act revised the environmental review procedures for assistance under Title IV of the Act, including ESG, by making applicable the provisions of, and regulations and procedures under section 104(g) of the Housing and Community Development Act of 1974 (42 U.S.C. Sec. 5304 (f)). The regulations are codified at 24 CFR Part 58. Also, see 24 CFR 576.57e (Release of Funds), and 24 CFR 35 (Lead Based Paint Hazard Reduction).

- **Applications including a request for Rehabilitation funds must include a Preliminary Environmental Review Checklist.** An organization that is awarded funds for rehabilitation activities must undergo an Environmental Review.
- **No funds may be obligated or expended for rehabilitation activities until the project has been environmentally cleared. For ESG funds distributed by the State to units of local government, the unit of local government must assume the environmental responsibilities, and the State will be**

responsible for providing a release of funds in accordance with the requirements of 24 CFR Part 58.

For funds distributed by the State *to nonprofit organizations*, the State must assume the environmental responsibilities, and HUD will provide the release of funds in this instance.

In either case, funds may be obligated or expended only after the *Request for Release of Funds and Certification of Compliance with Environmental Regulations* at 24 CFR Part 58 have been approved in writing.

- OEO may accept a previous environmental review if: 1) the environmental review is not more than 5 years old and no structural changes have occurred; 2) the certifying entity provides documentation that no environmentally significant changes have occurred since the review was done; and 3) a copy of the environmental review is submitted as part of the ESG application.

Ineligible rehabilitation or renovation costs include:

- Acquisition of real property
- New construction
- Property clearance or demolition
- Rehabilitation administration
- Staff training or fund raising activities associated with rehabilitation
- Building maintenance and repairs—to non-fixture items (See Operations—#4, page 5)

2. **ESSENTIAL SERVICES—24 CFR 576.3 (not to exceed 30% of the grant amount)**: Essential services include a broad range of support services in the areas of employment, health, drug abuse or education that address the immediate needs of the homeless and help enable homeless persons to become more independent and to secure permanent housing. Essential services are available to homeless persons who are residing in emergency and transitional shelters receiving funds under this grant. In addition, essential services for homeless persons may be funded in day shelters or soup kitchens that are designed to serve predominantly homeless persons. Finally, essential services may also be provided by shelters or day shelters that address the needs of persons residing on the street.

Essential services include but are not limited to:

- Assistance in obtaining permanent housing, (a copy of the rental agreement must be maintained in the client file)
- Medical and psychological counseling and supervision,
- Employment counseling,
- Nutritional counseling,
- Substance abuse treatment and counseling,
- Assistance in obtaining other Federal, State and local assistance including mental health benefits, employment counseling; medical assistance; Veteran's benefits; and income support assistance such as Supplemental Security Income benefits, Temporary Assistance for Needy Families, General Assistance, and Food Stamps,
- Other services such as child care, transportation, job placement and job training, and
- Staff salaries necessary to provide the above services. Salaries charged must be for ESG activities only. Subgrantees must provide position descriptions for salaries charged to this grant.

Ineligible essential services costs include:

- Existing services and staff (services must be new or provided to more persons)
- Salary of case management supervisor when not working directly on participant issues
- Advocacy, planning, and organizational capacity building
- Staff recruitment/training
- Transportation costs not directly associated with service delivery
- Costs stemming from illegal activities

3. **OPERATIONAL COSTS—24 CFR 576.21(a)(3):**

- a. **Maintenance and Operations** - This category includes expenses incurred by a subgrantee operating a facility with respect to:

- The maintenance, repair, and security of such housing; and
- Operations, rent, repairs, security, fuel, equipment, insurance, utilities, food, and furnishings for the shelter only.

When requesting ESG assistance with the provision of food, the applicant is required to provide a copy of the shelter facility's most recent DHEC inspection and/or proof of liability insurance.

- b. **Operational Staff Costs (including fringe benefits cannot exceed 10% of the total grant award.)** Administrative staff costs for operations are the only costs that should be reflected in this category. Costs charged must be provided at a reasonable cost and be directly related to an ESG eligible expenditure category. Subgrantees must submit position descriptions and cost share method, if applicable, for all salaries charged to this grant. Executive Director salaries may only be charged to ESG if they are directly involved in the provision of ESG-funded services and activities.

Ineligible operating or maintenance costs include:

- Recruitment or on-going training of staff
- Depreciation
- Costs associated with the organization rather than the supportive housing project (advertisements, pamphlets about organization, surveys, etc.)
- Staff training, entertainment, conferences or retreats
- Public Relations or fund raising
- Bad debts/late fees
- Mortgage payments
- Direct assistance payments to clients
- Replacement of fixtures and/or rehabilitation, acquisition, or construction.
- Costs stemming from illegal activities

4. **PREVENTIVE SERVICES—24 CFR 576.3 (not to exceed 30% of the grant amount):** Preventive Services are activities or programs designed to prevent the incidence of homelessness. ESG funds for homeless prevention must be expended within 180 days of the start of the grant period (by December 27, 2011). Prevention services include but are not limited to:

- a. Short term subsidies to defray rent and utilities. (A copy of the eviction or cut-off notice must be maintained in the client file.)

- b. Security deposits or first month's rent only for the purpose of preventing a family from becoming homeless to move into an apartment. (A copy of the rental agreement must be maintained in the client file.)
- c. Mediation programs for landlord-tenants disputes.
- d. Legal services programs for the representation of indigent tenants in eviction proceedings.
- e. Payments to prevent foreclosure on a home.
- f. Other innovative programs and activities designed to prevent the incidence of homelessness.

Federal regulations require that all funds allocated to preventive services be expended within 180 days of the grant award.

Development and implementation of homeless prevention activities are subject to the limitations in 42 U.S.C. 11374(a)(4)—grant funds may be used under this paragraph to assist families that have received eviction notices or notices of termination of utility services only if the conditions stated in 42 U.S.C. 11374(a)(4) are met as follows:

- The inability of the family to make the required payments must be the result of a sudden reduction in income;
- The assistance must be necessary to avoid eviction of the family or termination of utility services to the family;
- There must be a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and
- The assistance must not supplant funding for preexisting homeless prevention activities from other sources.

Ineligible homeless prevention costs include:

- Housing/services to homeless persons
- Direct payments to individuals
- Long-term assistance beyond several months
- Costs stemming from illegal activities
- Application for Federal Funds

F. Certifications of Use Restrictions Requirement

If any grant funds are to be used for activities under section E(1) the following must be adhered to:

- In the case of assistance involving major rehabilitation or conversion, subgrantee shall certify that the building for which assistance is used will be maintained as a shelter for homeless individuals and families for not less than a ten year period; or
- In the case of assistance involving rehabilitation (other than major rehabilitation or conversion), subgrantee shall certify that the building for which assistance is used will be maintained as a shelter for homeless individuals and families for not less than a three year period;
- Any renovation carried out shall be sufficient to ensure that the building involved is safe and sanitary.

ESG funds are not guaranteed for subsequent years. For this reason, applicants engaging in any activity outlined in E(1) Eligible Activities are required to substantiate a strategy to maintain the shelter for the required time period.

Substantial community support has proven to be an essential component of an applicant's ability to obtain the needed resources to maintain and develop the shelter in subsequent years.

F-1. Lease Agreements

Every lease agreement for an emergency shelter must be for the required time period; 3 years in the case of minor rehabilitation and 10 years in the case of major rehabilitation. Each applicant requesting funds for rehabilitation will be required to submit a lease agreement along with their application. Additionally, applicants requesting assistance with rent of shelter facilities must submit a copy of its lease agreement.

G. Faith-Based Activities

Organizations that are religious or faith-based are eligible, on the same basis as any other organization, to participate in the ESG program. Neither the Federal governments nor a State or local government receiving ESG funds shall discriminate against an organization on the basis of the organization's religious character or affiliation.

Organizations that are directly funded under ESG may not engage in inherently religious activities, such as worship, religious instruction, or proselytization as part of the programs or services funded under this part. If an organization conducts such activities, the activities must be offered separately, in time or location, from the programs or services funded under this part, and participation must be voluntary for the beneficiaries of the HUD-funded programs or services.

A religious organization that participates in ESG will retain its independence from the Federal, State, and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use ESG funds to support any inherently religious activities, such as worship, religious instruction, or proselytization.

An organization that participates in the ESG program shall not, in providing program assistance, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief.

ESG may not be used for the rehabilitation of structures to the extent that those structures are used for inherently religious activities. ESG may be used for the rehabilitation of structures only to the extent that those structures are used for conducting eligible activities under this part. Where a structure is used for both eligible and inherently religious activities, ESG may not exceed the cost of those portions of the rehabilitation that are attributable to eligible activities in accordance with the cost accounting requirements applicable to ESG in this part. Sanctuaries, chapels, or other rooms that an ESG-funded religious congregation uses as its principal place of worship, however, are ineligible for ESG-funded improvements. Disposition of real property after the term of the grant, or any change in use of the property during the term of the grant, is subject to government-wide regulations governing real property disposition (See 24 CFR parts 84 and 85).

H. Performance Requirements

The grant period for ESG projects is one year; effective on the date the state makes funds available to the subgrantee. In general, projects requesting funds for rehabilitation may encounter a delay in obtaining results for the environmental review from the various agencies involved. Environmental reviews generally take 60-90 days to complete. Applicants may want to consider this factor in determining where to use local match.

ESG funds must be obligated within 180 days after the date the state makes the funds available to the ESG subgrantee and must be expended within one year of the date the state makes the funds available. Homeless Prevention funds as defined in 24 CFR Part 576.21 must be obligated within 30 days.

ESG funds used for Homeless Prevention must also be expended within 180 days of the date the State made the funds available. This 180 day threshold only applies to funds allocated for Homeless Prevention.

All projects must begin within three (3) months of the date the state made the funds available to the applicant. If the program has not started within three (3) months of the award date, without written and justifiable cause, the state reserves the right to rescind the grant award. *Start-up is defined as significant expenditure of funds.* **In addition, agencies must provide the OEO with written notification of closure within fifteen (15) days prior to actual closure.**

The state reserves the right to recapture ESG funds under the following circumstances:

- a. Those who do not meet the performance requirements outlined in the approved project;
- b. Those who are unable to comply with the regulatory deadlines on obligation and disbursement as outlined at 24 CFR Part 576.55(a) (2); and,
- c. Those who otherwise, without appropriate justification, have failed to implement the project as set forth in their approved ESG Grant Application.

Applicants are required to submit a timetable outlining the tasks required for accomplishment of project goals. The timetable submitted will be used to monitor project performance.

I. Performance Threshold

Non-responsible performance means failure to expend funds in a timely manner, failure to timely and/or adequately address monitoring issues, failure to report in a timely manner, and/or failure to provide services and perform in accordance with the criteria outlined in the Grant Agreement.

J. Method of Payment

Disbursement of funds will follow a cost reimbursement procedure and will be for actual funds expended. Subgrantees shall only be reimbursed for costs that have been incurred within the current grant year and corroborated with paid invoices or other evidence of subgrantee expenditure or outlays. Requests for reimbursement should be submitted on a monthly basis.

Subgrantees must also submit the final request for reimbursement to the OEO within 15 days (by July 15, 2012) after the expiration of the grant period on June 30, 2012.

Applicants are reminded that any costs incurred or paid prior to the beginning of the start-up date or after the ending date cannot be reimbursed by the grant.

K. Homeless Participation & Termination of Assistance

1. **Homeless Participation**: The federal regulation at 24 CFR 576.56 (b) describes this participation as:

Participation 24 CFR 576.56 (b)

1. Each unit of local government and nonprofit recipient that receives funds under this part must provide for the participation of homeless individuals on its policymaking entity in accordance with 42 U.S.C. 11375 (d).
2. Each State, territory, unit of local government, and nonprofit recipient that receives funds under this part must involve homeless individuals and families in providing work or services pertaining to facilities or activities assisted under this part, in accordance with 42 U.S.C. 11375 (c) (7).

The regulation refers to the following sections of the statute:

Participation of homeless individuals 42 U.S.C. 11375 (d)

The Secretary shall, by regulation, require each recipient that is not a State to provide for the participation of not less than 1 homeless individual or former homeless individual on the board of directors or other equivalent policymaking entity of such recipient, to the extent that such entity considers and makes policies and decisions regarding any facility services, or other assistance of the recipient assisted under this part. The Secretary may grant waivers to recipients unable to meet the requirement under the preceding sentence if the recipient agrees to otherwise consult with homeless or formerly homeless individuals in considering and making such policies and decisions.

Certifications on Use of Assistance 42 U.S.C. 11375 (c) (7)

Each recipient shall certify to the Secretary that...to the maximum extent practicable, it will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under this part, in providing services assisted under this part, and in providing services for occupants of facilities assisted under this part.

The OEO requires that all applicants submit a policy on homeless involvement as an attachment to the application.

2. **Termination of Assistance & Grievance.** The federal regulation at 24 CFR 576.56 (a) (3) describes the termination provision:

Termination of Assistance 24 CFR 576.56 (a) (3)

Grantees and recipients may, in accordance with 42 U.S.C. 11375 (e), terminate assistance provided under this part to an individual or family who violates program requirements.

The Federal statute details termination of assistance:

Termination of Assistance 42 U.S.C 11375 (e)

If an individual or family who receives assistance under this part from a recipient violates program requirements, the recipient may terminate assistance in accordance with a formal process established by the recipient that recognizes the rights of individuals affected, which may include a hearing.

The OEO requires that all applicants submit a termination policy that details grievance procedures as an attachment to the application.

L. Timetable

The State will make available to units of general local government and non-profit organizations all ESG Program funds within 65 days of the date the state receives its grant

award notice from the U.S. Department of Housing and Urban Development. **A tentative timetable for the 2011 ESG, based on HUD's pending approval, is as follows:**

February 14, 2011	State issues Requests for Applications (RFA) statewide solicitation
February 28, 2011	State holds pre-application (orientation) workshop, provides ESG Application overview, and other pertinent information
April 15, 2011	ESG Applications due at the OEO for 2010 funding consideration and review
June 14, 2011	State informs applicants of the awards
June 27, 2011	Post awards workshop—Emergency Shelter Grants Program Grant Agreements distributed and signed
July 1, 2011- June 30, 2012	Program Year 2011 grant period

As indicated above, this is a tentative timetable, therefore subject to change at the discretion of OEO.

PART II: APPLICATION COMPONENTS

OEO forms must be used. Do not alter OEO forms unless the form indicates that it can be modified. Applications must be organized in the following order:

1. Applicant Overview
2. Identification of Funding Sources & Past Performance
3. Statement of Need
4. Agency Outcome Measures / Planned Accomplishments & National Objectives and Outcomes (Planned Accomplishments Form and Accomplishments Analysis Form, as applicable)
5. Local Capacity and Timetable
6. Project Activity Detail/Justification
7. Project Budget/Match
8. Current Fidelity Bond
9. Most Recent Certified Independent Audit, if required
10. Assurances, Certifications, Current Board Roster, and Supporting Documentation

Please include forms and attachments in the application sections specified by the RFA.

Each section must begin on a separate page and be appropriately labeled.

An original unbound and three (3) bound copies of the application must be submitted to the OEO by the application due date. The original and copies should have tabs to mark each requirement in "A" above.

At the discretion of the OEO, a grant may not be awarded to an emergency shelter which has a serious, outstanding audit or monitoring finding involving the potential for significant monetary restitution, non-responsiveness, or non-responsible performance on any previously funded ESG grant.

Past Performance Form

Grant Amount:	
Grant Period:	
Use of Funds	
Rehab/Conv.	
Essential Services	
Preventive	
Operations	
Total Grant Expenditures	
Discuss Reporting Issues	
Discuss Monitoring Issues	
Discuss Performance	

Grant Amount:	
Grant Period:	
Use of Funds	
Rehab/Conv.	
Essential Services	
Preventive	
Operations	
Total Grant Expenditures	
Discuss Reporting Issues	
Discuss Monitoring Issues	
Discuss Performance	

Grant Amount:	
Grant Period:	
Use of Funds	
Rehab/Conv.	
Essential Services	
Preventive	
Operations	
Total Grant Expenditures	
Discuss Reporting Issues	
Discuss Monitoring Issues	
Discuss Performance	

Grant Amount:	
Grant Period:	
Use of Funds	
Rehab/Conv.	
Essential Services	
Preventive	
Operations	
Total Grant Expenditures	
Discuss Reporting Issues	
Discuss Monitoring Issues	
Discuss Performance	

Section 3: Statement of Need

In the statement of need, the applicant must describe, as accurately as possible, the homeless situation as it exists in its service area. The following components must be addressed:

Identify the target population of homeless persons (for example “chronically homeless,” homeless children, homeless families, homeless veterans, victims of domestic violence) that you are seeking to serve. Define your service area and include specific data on the estimated number of these homeless persons in your service area, with reference to the data sources. Describe any unique characteristics of your target population that may impact the type, manner, and scope of the services that are provided and/or needed.

Describe any substantially unmet needs of homeless persons in your service area in terms of housing and support services, particularly among your target population.

Describe any other special conditions that make the homeless problem especially difficult in your service area.

Describe the problems affecting your target population and/or the needs that you are seeking to address through your proposed project. Please list problems/needs in order of priority, starting with the most important need.

List other shelters and resources available to assist the homeless in your service area, and for each, briefly describing the following: (Complete using the Inventory of Facilities Form)

Section 4: Agency Outcome Measures / Planned Accomplishments & National Objectives and Outcomes
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I. **Accomplishments Form** (planned outcomes)

Subgrantees must report accomplishments for each Homeless Prevention and Homeless Assistance activity instead of a single lead activity for each project.

Agency Outcome Measures: In accordance with new Federal requirements, applicants must submit detailed documentation concerning outcome measures. Explain the types of services offered to the agency's clients beyond those specifically intended to meet the emergency needs. Outcome measures demonstrate the applicant's ability to move their clients toward self-sufficiency. For example, an outcome measure for an applicant might be the number of shelter clients placed into a transitional housing program. **Agency objectives and outcome measures to be achieved should be indicated in the narrative section of the OEO Accomplishments Form.**

A. **Planned Accomplishments & National Objectives and Outcomes:** Applicants must complete and provide the OEO Accomplishments Form in order to indicate targets for the 2011 ESG year.

- a. Identify the National Performance Measurement Objective that most accurately describes what the agency intends to accomplish by performing the activity.
 1. **Suitable Living Environments:** (Emergency shelters and transitional shelters for homeless persons including rehabilitation, operations and services) Activities that benefit communities, families, or individuals by addressing issues in their living environment.
 2. **Decent Affordable Housing:** (Homeless prevention activities) Housing activities that meet individual, family or community needs.
 3. **Creating Economic Opportunities:** Activities related to economic development, commercial revitalization, and job creation. (This does not include job training or educational services.)
- b. Identify the National Performance Measurement Outcome that most accurately describes what the agency intends to accomplish by performing the activity.
 1. **Availability/Accessibility:** (Emergency shelters and transitional shelters for homeless persons including rehabilitation, operations and services) Activities that make shelter and services available and accessible. Note that accessibility does not refer only to physical barriers.
 2. **Affordability:** (Homeless prevention activities) Activities that provide affordability through rent/mortgage assistance, utility assistance, and 1st month rent/security deposit assistance and landlord/tenant mediation/legal services.
 3. **Sustainability:** Activities that promote livable or viable communities and neighborhoods by removing slums or blighted areas.

Note: ESG Guidance: Objective / Outcome

For ESG homeless assistance activities (Emergency shelters and transitional shelters for homeless persons including rehabilitation, conversion, operations and essential services), the preferred OBJECTIVE is:

(1)"Suitable Living Environment".

The preferred OUTCOME for ESG homeless assistance activities is:

- (1) “Availability/Accessibility”.

For ESG homeless prevention activities, the preferred OBJECTIVE is:

- (2) “Decent, Affordable Housing”.

The preferred OUTCOME for ESG homeless prevention activities is:

- (2) “Affordability”.

II. Self-Assessment of Outcomes

If an applicant has been previously funded, the current application for funding must include an assessment of its previously planned versus actual accomplishments submitted during the prior grant cycle. Utilize OEO’s Accomplishments Analysis Form to complete this section.

Program Accomplishment Data (ESG Form 10)

HOMELESS ASSISTANCE (Rehabilitation, Essential, & Operations)

Please indicate the appropriate report submission with an "x"

<input type="checkbox"/>	Planned (Application) Accomplishments April 15, 2011
<input type="checkbox"/>	Actual Cumulative Unduplicative April 6, 2012
<input type="checkbox"/>	Actual Cumulative Unduplicative Final by July 16, 2012

Agency Name and Physical Address:

Accomplishment Narrative:

Indicate program(s) and service(s) with an "x"

<input type="checkbox"/>	emergency shelter facilities	<input type="checkbox"/>	transitional housing
<input type="checkbox"/>	vouchers for shelters	<input type="checkbox"/>	outreach
<input type="checkbox"/>	drop-in-center	<input type="checkbox"/>	soup kitchen/meal distribution
<input type="checkbox"/>	food pantry	<input type="checkbox"/>	health care
<input type="checkbox"/>	mental health	<input type="checkbox"/>	HIV/AIDS services
<input type="checkbox"/>	alcohol/drug program	<input type="checkbox"/>	employment
<input type="checkbox"/>	child care	<input type="checkbox"/>	homeless prevention
<input type="checkbox"/>	other _____		

Organization Type:

<input type="checkbox"/>	Public Agency	<input type="checkbox"/>	Faith Based Non-Profit	<input type="checkbox"/>	Other Non-Profit
--------------------------	---------------	--------------------------	------------------------	--------------------------	------------------

ESGP Objective and Outcome (Choose one objective and one outcome)

Objective

<input type="checkbox"/>	Create suitable living environment	Emergency Shelter Bed Capacity:	<input type="checkbox"/>
<input type="checkbox"/>	Provide decent affordable housing	Transitional Shelter Bed Capacity:	<input type="checkbox"/>
<input type="checkbox"/>	Create economic opportunities		

Outcome

<input type="checkbox"/>	Availability/accessibility
<input type="checkbox"/>	Affordability
<input type="checkbox"/>	Sustainability

SPECIAL CHARACTERISTICS--Activity Location (select all that apply):

<input type="checkbox"/>	CDBG target area: A HUD approved Neighborhood Revitalization Strategy Area
<input type="checkbox"/>	Local target area: locally designated non-CDBG strategy area targeted for assistance
<input type="checkbox"/>	Disaster area: A Presidentially declared major disaster area
<input type="checkbox"/>	Historic preservation: An area designated for historic preservation by local, state, or federal officials
<input type="checkbox"/>	Brownfield redevelopment: An abandoned, idled, or underused property where expansion or redevelopment is complicated by real or potential environmental contamination

Persons Served with Financial Assistance

	Total
Annual Number Adults Served	
Annual Number Children Served	
Total	

Persons Served with Non-financial Services

	Total
Annual Number Adults and Children Served	

Number Served with Financial Assistance by Housing Type

	Total
Barracks:	
Group/Large House:	
Scattered Site Apartment:	
Single Family Detached House:	
Single Room Occupancy:	
Mobile Home/Trailer:	
Hotel/Motel:	
Other:	
Total:	0

Total Number of Persons

	Male	Female	Total
Unaccompanied 18 and Over			0
Unaccompanied Under 18			0

Annual Number of Family Households with Children Headed By Single Parents

	Male	Female	Total
Single Parent 18 and Over			0
Single Parent Under 18			0

Annual Number Served

Race	Total	Hispanic
White:		
Black/African American:		
Asian:		
American Indian/Alaskan Native:		
Native Hawaiian/Other Pacific Islander:		
American Indian/Alaskan Native & White:		
Asian & White:		
Black/African American & White:		
Am. Indian/Alaskan Native & Black African:		
Other Multi-Racial:		
TOTAL:	0	0

Annual Number of Family Households

	Total
Two Parents 18 and Over with Children	
Two Parents Under 18 with Children	
Family Households with No Children	

Total Number Served

	Total
Total Number of Persons	
Total Number of Households	

Subpopulations Served

	Total
Chronically Homeless (Emergency Shelter Only)	
Severely Mentally Ill	
Chronic Substance Abuse	
Other Disability	
Veterans	
Persons with HIV/AIDS	
Victims of Domestic Violence	
Elderly	
Total	0

ESG Funds

Homeless Assistance	Amount
Conversion	
Major Rehabilitation	
Renovation	
Operations	
Essential Services	
Total	0
ESG Disbursed Amount	

Other Funds

	Amount
Other HUD Funds	
Other Federal Funds	
State Government	
Local Government	
Private Funds	
Other	
Fees	
Total	0

Activity Costs (ESG + Other Funds)

	Amount
Total	0

HOMELESS PREVENTION

Please indicate the appropriate report submission with an "x"

<input type="checkbox"/>	Planned (Application) Accomplishments April 15, 2011
<input type="checkbox"/>	Actual Cumulative Unduplicative April 6, 2012
<input type="checkbox"/>	Actual Cumulative Unduplicative Final by July 16, 2012

Agency Name and Physical Address:

Accomplishment Narrative:

Indicate program(s) and service(s) with an "x"

<input type="checkbox"/>	emergency shelter facilities	<input type="checkbox"/>	transitional housing
<input type="checkbox"/>	vouchers for shelters	<input type="checkbox"/>	outreach
<input type="checkbox"/>	drop-in-center	<input type="checkbox"/>	soup kitchen/meal distribution
<input type="checkbox"/>	food pantry	<input type="checkbox"/>	health care
<input type="checkbox"/>	mental health	<input type="checkbox"/>	HIV/AIDS services
<input type="checkbox"/>	alcohol/drug program	<input type="checkbox"/>	employment
<input type="checkbox"/>	child care	<input type="checkbox"/>	homeless prevention
<input type="checkbox"/>	other _____		

Organization Type:

<input type="checkbox"/>	Public Agency	<input type="checkbox"/>	Faith Based Non-Profit	<input type="checkbox"/>	Other Non-Profit
--------------------------	---------------	--------------------------	------------------------	--------------------------	------------------

ESGP Objective and Outcome (Choose one objective and one outcome)

Objective

<input type="checkbox"/>	Create suitable living environment	Emergency Shelter Bed Capacity:	<input type="checkbox"/>
<input type="checkbox"/>	Provide decent affordable housing	Transitional Shelter Bed Capacity:	<input type="checkbox"/>
<input type="checkbox"/>	Create economic opportunities		

Outcome

<input type="checkbox"/>	Availability/accessibility
<input type="checkbox"/>	Affordability
<input type="checkbox"/>	Sustainability

SPECIAL CHARACTERISTICS—Activity Location (select all that apply):

<input type="checkbox"/>	CDBG target area: A HUD approved Neighborhood Revitalization Strategy Area
<input type="checkbox"/>	Local target area: locally designated non-CDBG strategy area targeted for assistance
<input type="checkbox"/>	Disaster area: A Presidentially declared major disaster area
<input type="checkbox"/>	Historic preservation: An area designated for historic preservation by local, state, or federal officials
<input type="checkbox"/>	Brownfield redevelopment: An abandoned, idled, or underused property where expansion or redevelopment is complicated by real or potential environmental contamination

Persons Served with Financial Assistance

	Total
Annual Number Adults Served	
Annual Number Children Served	
Total	

Persons Served with Non-financial Services

	Total
Annual Number Adults and Children Served	

Number Served with Financial Assistance by Housing Type

	Total
Barracks:	
Group/Large House:	
Scattered Site Apartment:	
Single Family Detached House:	
Single Room Occupancy:	
Mobile Home/Trailer:	
Hotel/Motel:	
Other:	
Total:	0

Total Number of Persons

	Male	Female	Total
Unaccompanied 18 and Over			0
Unaccompanied Under 18			0

Annual Number of Family Households with Children Headed By Single Parents

	Male	Female	Total
Single Parent 18 and Over			0
Single Parent Under 18			0

Annual Number Served

Race	Total	Hispanic
White:		
Black/African American:		
Asian:		
American Indian/Alaskan Native:		
Native Hawaiian/Other Pacific Islander:		
American Indian/Alaskan Native & White:		
Asian & White:		
Black/African American & White:		
Am. Indian/Alaskan Native & Black African:		
Other Multi-Racial:		
TOTAL:	0	0

Annual Number of Family Households

	Total
Two Parents 18 and Over with Children	
Two Parents Under 18 with Children	
Family Households with No Children	

Total Number Served

	Total
Total Number of Persons	
Total Number of Households	

Subpopulations Served

	Total
Chronically Homeless (Emergency Shelter Only)	
Severely Mentally Ill	
Chronic Substance Abuse	
Other Disability	
Veterans	
Persons with HIV/AIDS	
Victims of Domestic Violence	
Elderly	
Total	0

ESG Funds

Homeless Prevention	Amount
Homeless Prevention Services	
Homeless Prevention Fin. Asst.	
Total	0
ESG Disbursed Amount	

Other Funds

	Amount
Other HUD Funds	
Other Federal Funds	
State Government	
Local Government	
Private Funds	
Other	
Fees	
Total	0

Activity Costs (ESG + Other Funds)

	Amount
Total	0

Accomplishments Analysis Form

(Only previously funded subgrantees should complete this form to included in their application.)

Agency Name and Physical Address: _____

Reporting period analyzed (should be previous grant cycle if funded): _____

Analysis of Planned versus Actual Beneficiaries Served During Previous Grant Period:

RESIDENTIAL (EMERGENCY OR TRANSITIONAL SHELTERS) (Numbers given as example to indicate formula working. Replace with agency figures.)

	Planned	Actual	Achievement Rate
Annual Number of Adults Served:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Annual Number of Children Served:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sub-Total:	<input type="text"/>	<input type="text"/>	<input type="text"/>

NON-RESIDENTIAL SERVICES

Annual Number of Adults and Children Served:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Grand Total:	<input type="text"/>	<input type="text"/>	<input type="text"/>

Narrative Explanation of Results if 100% Achievement Rate was not met:

Section 5:

Local Capacity and Timetable continued

D. The provision of comprehensive assistance to the homeless individuals either through direct services or referrals to other human services providers is a requirement of the ESG. State how you propose to provide the homeless with supportive services or state the agency(s) that you will coordinate with to provide those services. Be as specific as possible, listing the agency, nature and amount of service or assistance provided.

E. Applicants must submit documentation or a plan on how the shelter will be maintained in subsequent years.

F. Describe the extent to which the homeless clients' needs could be adequately addressed by other resources in your community without the requested ESG services.

G. Applicants must complete and include in this section the OEO COC/HMIS Form that will provide information on the applicant's participation in both its local continuum of care and the Homeless Management Information System. **Insert the OEO COC/HMIS Form directly behind the Application & Authorized Signature Form in this section.**

APPLICATION & AUTHORIZED SIGNATURE FORM

BLOCK I. APPLICANT NAME AND MAILING ADDRESS

Name: _____
Address: _____

2011 ESG Funding Requested _____
2011 Matching Funds _____
2011 Total Application Budget _____
2010 ESG Funding Granted _____

BLOCK II. Signatures of Individuals Authorized to draw on the Request for Reimbursement and Sign Checks

A. Please Type or Print

Name: _____
Title: _____
Phone Number: _____
Email Address: _____
Signature: _____

B. Please Type or Print

Name: _____
Title: _____
Phone Number: _____
Email Address: _____
Signature: _____

C. Please Type or Print

Name: _____
Title: _____
Phone Number: _____
Email Address: _____
Signature: _____

D. Please Type or Print

Name: _____
Title: _____
Phone Number: _____
Email Address: _____
Signature: _____

BLOCK III. Administering Agency Contact

Local Government Non-Profit Faith-based Non-Profit

Name: _____
Title: _____
Agency: _____
Address: _____

Phone: _____ Email: _____
Signature: _____

BLOCK IV. Mail Checks To:

Agency Name: _____
Mailing Address: _____

BLOCK V. Other Contacts (If the person to complete Requests for Reimbursement is not otherwise listed on this form, please provide their contact information here.)

Name: _____
Phone: _____
Email: _____

BLOCK VI. Executive Director Form Approval

I certify that the signatures in Block II, A, B, C, and D are of the individuals authorized to draw payment vouchers for the Grant and sign checks.

Name: _____
Title: _____ Executive Director _____
Signature: _____

BLOCK VII. Board Form Approval

Name: _____
Title: _____ Board Chairperson _____
Mailing Address: _____

Signature: _____

Continuum of Care & Homeless Management Information System (HMIS) Participation Verification Form

PART I—Continuum of Care Participation

Is the agency a participating member in a local Continuum of Care?

_____ Yes _____ No

If yes, please indicate the name of the Continuum:

If no, please explain why:

PART II—HMIS Participation

Is the agency participating in HMIS?

_____ Yes _____ No

If no, please explain why, and if yes, please explain the level or extent of participation:

****Please attach continuum of care/HMIS endorsement letter.****

Section 6: Project Activity Detail/Justification

Applicants should describe, in detail, based on the major program categories, the work to be performed or activities to be undertaken, and explain how their activities relate to the goal(s) stated in Section 3. *Applicants are advised to carefully design this section. The Grantee will not approve any project revision during the grant period, except under extra-ordinary circumstances.*

A. The major program categories allowable in 24 CFR part 576.21 are:

1. Conversion, renovation or major rehabilitation

If the applicant has allocated funds for renovation, conversion or major rehabilitation as defined in 24 CFR Part 576.3 and as summarized in Part 1, section E1 of this RFA, the applicant must indicate the following:

a. The exact location of the building;

b. The ownership of the building;

c. The lease agreement, **insert directly behind this form if applicable;**

d. Documentation of the value of the building to be rehabilitated or converted, **insert directly behind the form;** and

e. Documentation on any environmental reviews that have been performed on the building during the past 24 months, **insert directly behind this form, if applicable.**

The applicant must also provide a detailed description of the renovation activity to be performed. A plan of the building, indicating the areas to be renovated, is required.

2. Provision of Essential Services (not to exceed 30% of the ESG request)

a. Applicants using this category must prove that the service is (a) a new service or (b) a quantifiable increase in the level of services above that which the unit of local government provided during the 12 calendar months prior to the current request for ESG funds.

b. Applicants must indicate the staff (e.g. employees, consultants) that will be hired to provide essential services or specify whether ESG funds will be used to fund existing staff.
3. <u>Provision of Preventive Services (not to exceed 30% of ESG request)</u>
a. ESG funds used for homeless prevention must be obligated within 30 days of the date the State made the funds available. Written notification of the subgrantee's obligation of funds must be submitted to the OEO within the 30-day period.
b. ESG funds used for homeless prevention must be expended within 180 days of the date the State made the funds available.
<u>Explanation of Preventive Services:</u>
4. <u>Maintenance and Operations</u> This category includes payment for maintenance, operations, food, rent, repair, security, fuel and equipment, insurance, utilities and furnishings.
<u>Explanation of Operational Services:</u>
5. <u>Operational Staff Costs</u> (Staff costs for administration should be limited to actual staff costs for operations, cannot exceed 10% of total ESG funds being requested).
<u>Explanation of Staff Costs:</u>

All staff costs must be limited to the grant period. The State shall not approve staff costs that exceed the grant period.

All procurements of goods and services must comply with both the State and the Federal government procurement guidelines. **Furthermore, all bids submitted with the application will be used for evaluation purposes only. Approval of the application shall therefore not constitute approval of the bids. Subgrantees will be required to submit new bids for the purposes of the program.**

Section 7: Budget/Match Documentation

Budget

- A. Each applicant must submit a budget for all funds requested and applicant's contribution. If awarded, funds cannot be expended until the budget is approved by OEO and the grant agreement has been executed.
- B. Applicants must make sure they do not exceed the budget caps associated with the various service elements.
- C. Applicants must include a detailed Budget Narrative, including estimated costs for services to be procured, salary expenses, and/or equipment to be purchased.
- D. If an application includes costs for any item classified as repair according to the HUD Maintenance memo previously referenced in this RFA, the application will be considered incomplete if it does not include the required environmental documentation.

Match

ESG requires a dollar-for-dollar match. The match can be either in cash contribution, donated resources, or volunteer services. Please refer to 24 CFR part 576.71 and/or Part I, Section D of this RFA to determine allowable sources for match and other related information. Applicants must:

- A. Identify the sources(s), amount(s) and specific use of all local matching funds and resources. **Special Note: *You will be expected to produce and use any funds/resources listed here. Please ensure that any funds/resources listed here are available for your use.*** Applicants are reminded that resources used in previous ESG cycles as subgrantee contribution cannot be utilized. Additionally, resources used to fulfill the match requirement of another grant within the same program year as the ESG grant received cannot be utilized.
- B. Include commitment letters for every component of local funds. The commitment letter must include, but is not limited to, the following information:
 - 1. Language which indicates that funds or in-kind contributions have been committed by individuals or organizations authorized to award the funds.
 - 2. The specific dollar amount/resource and time period.
 - 3. An itemization of any in-kind contributions and a description of how the value was determined.
 - 4. Signature of authorized official.

Use the Budget, Match, and Narrative Forms provided to complete this section, then attach all other requested or necessary documentation (i.e. Certification of Match or MOU). Please include names and position descriptions for all staff indicated in the budget.

**Emergency Shelter Grants Program
2011 Budget**

Subgrantee Name: _____

Telephone: _____

Shelter Name: _____

	ESG Federal Funds Requested	Subgrantee Contribution/Match Expense	Total Budget	Proposed # of Clients to be Served	
Homeless Assistance	Shelter:				
	Rehab. (minor)	\$1.00	\$1.00	\$2.00	
	Rehab. (major)	\$1.00	\$1.00	\$2.00	
	Conversion	\$1.00	\$1.00	\$2.00	
	Shelter Total:	\$3	\$3	\$6	0
	Essential Services (max=30%):				
	Client Assistance	\$1.00	\$1.00	\$2.00	
	Counseling	\$1.00	\$6.00	\$7.00	
	Other (Specify)	\$1.00	\$1.00	\$2.00	
	Essential Total:	\$3	\$8	\$11	0
	Operational:				
	Equipment-capitalized	1.00	1.00	\$2.00	
	Equipment-non-capitalized	1.00	1.00	\$2.00	
	Rent	1.00		\$1.00	
	Insurance	1.00		\$1.00	
	Utilities	1.00		\$1.00	
	General Maintenance (Specify)	1.00		\$1.00	
	Other (Specify)	1.00		\$1.00	
	HMIS	1.00		\$1.00	
	Operational Subtotal:	\$7	\$2	\$9	0
Staff Cost (max = 10%)			\$0.00		
Operational Total:	\$7	\$2	\$9	0	
Homeless Assistance Total	\$13	\$13	\$26	0	
Homeless Prevention	Preventive (max=30%):				
	Client Assistance	\$1.00	\$1.00	\$2.00	
	Preventive Total:	\$1	\$1	\$2	0
GRAND TOTAL:	\$14	\$14	\$28	0	
_____ Executive Director Signature			_____ Date		
_____ Board Chairperson Signature			_____ Date		

For OEO Use Only: (Please Initial & Date)	Approved By	Date
OEO Program Coordinator		
OEO Senior Manager		
OEO Director		
OEO Fiscal		

2011 ESG Match Budget

Subgrantee: _____

* TYPE	DOLLAR VALUE	SOURCE OF MATCH	METHOD OF CALCULATION
Donated Supplies (clothing, furniture, equipment, etc.)			
Cash Donations Or Grants ** (please specify if cash used to pay salaries)			
Value of Donated Building			
Fair Rental or Lease Value			
Volunteers (@ \$5/hour)			
Other (such as fundraisers)			
*** MATCH TOTAL			

NOTES:

- * All matching funds must be justified as ESG related and will be verified during OEO monitorings.
- ** All salaries, including executive directors, charged as matching funds must be verifiable as ESG related via submitted position descriptions and time sheets must be retained for OEO audits.
- *** Match budget must equal, and not exceed, the amount of ESG funding requested.

Emergency Shelter Grant Program 2011 Budget Narrative

Subgrantee Name: _____

	Category	Description of Activities	Cost
Homeless Assistance	Shelter		3.00
	Shelter Total		3.00
	Essential Services***** (max=30%):	(ALL ESSENTIAL SERVICES MUST BE JUSTIFIED AS NEW/INCREASED OR PREVIOUSLY FUNDED)	
	Client Assistance (only payments on behalf of clients)		1.00
	Counseling*		1.00
	Other* (Specify)		1.00
	Essential Services Total		3.00
	Operational:		
	Equipment-capitalized		1.00
	Equipment-non-capitalized		1.00
	Rent**		1.00
	Insurance***		1.00
	Utilities		1.00
	General Maintenance (Specify)*****		1.00
	Other* (Specify)		1.00
HMIS		1.00	
Staff Cost* (max = 10%)		0.00	
Operational Total		8.00	
HOMELESS ASSISTANCE TOTAL		14.00	
Homeless Prevention	Preventive (max=30%):		
	Client Assistance		1.00
Preventive Total		1.00	
GRAND TOTAL:		14.00	

*For any position partially or fully funded with ESG, attach a position description and provide the name of the staff person.

**Attach a copy of the lease.

***Attach portion of policy that provides the policy number, vendor information, premium, and payment arrangements.

****Provide latest DHEC inspection and/or evidence of liability insurance if requesting assistance with food.

*****Please be aware that replacement of items HUD describes as "fixtures" is not an allowable expense under this category. Replacement of fixtures must be budgeted under "Shelter" and are subject to Environmental Review. (Refer to RFA package for the HUD Memo.)

*****All Essential Services must be justified as new, increased, or previously funded on this budget narrative. (The fields may be expanded to

***PY 2011 Emergency Shelter Grants Program
Certification of Matching Funds***

ESG (State) Total: \$ _____

Local Match Total: \$ _____

*Other Funds Total: \$ _____

GRANT TOTAL \$ _____

_____ certifies that the matching supplemental funds (*Match Provider*) required by the regulations at 24 CFR 576.71 and 576.85(a)(3), will be provided. **Attached to this certification is a description of the sources and amounts of such supplemental funds.**

=====

Authorized Official (Match Provider)

Typed Name and Title

Date

=====

By SUBGRANTEE:

Authorized Official (Shelter)

Typed Name and Title

Date

Section 8: Current Fidelity Bond

The purchase of a fidelity bond is an allowable cost for ESG, in accordance with OMB Circular A-122. The agency's Board of Directors must deem the purchase of a fidelity bond to be a necessary cost. The agency will be required to submit Board minutes approving the purchase of a fidelity bond. The OEO will only approve a reimbursement not to exceed the grant's actual pro rata share of the bond.

Section 9: Most Recent Certified Independent Audit Report

Applicants must submit a copy of the most recent certified independent audit report if required by Federal law (within nine months of the grant award). New shelter applicants will have nine (9) months after the first fiscal year to submit their audit report. **In accordance with OMB Circular A-133, the cost of audits are allowable charges provided the agency has federal award expenditures of greater than \$500,000 and the audit costs are allocated proportionately across audited programs such that the percentage of costs charged shall not exceed the percentage derived by ESG funding in relationship to the total federal expenditures.**

Section 10: Assurances, Certifications, Current Board Roster and Supporting Documents

- A. Attach to your application an endorsement from the unit of local government that authorizes the submission of the application and identifies and commits the local match funds, if appropriate. If, due to scheduling, the governing body cannot provide an endorsement, a letter signed by the chief elected or duly authorized representative (i.e., City or County Manager) may be substituted for the endorsement. If the shelter is within an incorporated area, then the local government endorsement must be from that representative body.
- B. Attach to your application a letter of commitment from the chairperson of the agency's Board of Directors. The letter must state the commitment of the Board and the shelter toward this project.
- C. Please attach a map showing the location of the proposed project(s). In the case of renovations, identify the current space and the area to be renovated.
- D. **The following certifications must be executed and returned as a part of this application.** Each certification must be signed by the Executive Director, Board Chairperson or the Chief Elected Official of the unit of local government, in cases where the unit of local government is the subgrantee.
 1. Federal Certifications.
 2. Certification (Endorsement) of Local Government Commitment. This is not required where the unit of local government is the applicant.
 3. Certification of Matching Funds (in Section 6).
 4. Certification of Safe Environs.
- E. A copy of the most recent review and rating documentation conducted at the facility to meet license and code requirements must be submitted—to include both DHEC and Fire Inspection reports stating whether or not the facility is in compliance with all applicable health & safety requirements (as well as all other pertinent documents indicating compliance with applicable codes). **Additionally, for all facilities that provide shelter to children for more than 100 days and were constructed prior to 1978, the applicant must provide evidence of a lead-based paint inspection, as well as any corrective measures that have been performed.**
- F. **All applicants must submit documentation to demonstrate their non-profit status. Private non-profit organizations must have a 501(c) 3 certification and be registered in the State of South Carolina.**

- G. Applicants must submit a formal policy on termination of assistance, which recognizes the individual's right to a hearing.
- H. Per 24 CFR 576.56, applicants must submit a formal policy on homeless participation that provides for the participation of homeless individuals on its policymaking entity in accordance with 42 U.S.C. 11375(d).
- I. Attach to your application the agency's confidentiality policy.
- J. Current Board Roster
- K. Attach any operational licenses your organization or facility has been granted by the either State or local government

PART III: SELECTION PROCESS

- A. Evaluation: The evaluation process will ensure that funds are awarded to units of local government and/or non-profit applicants that successfully demonstrate: (1) the nature and extent of the unmet homeless need within its service area, (2) proposed activities that directly address those needs, and (3) the ability to utilize awarded funds promptly.

Each complete application will be evaluated by a review panel. The evaluation instrument is included. Each major application section will be rated according to the total points that have been allotted to the section. The state will endeavor to ensure grant awards are made to shelters within each region of the state to ensure a continuum of care. In addition, priority consideration will be given to applications that demonstrate the following:

1. History of satisfactory performance in implementing ESG-type activities and grant requirements.
2. Adequate agency capacity to carry-out grant objectives and meet grant requirements.
3. The agency's ability to assist in meeting the State's objectives and outcomes.
4. Locality has no shelter for the homeless other than the applicant.
5. An existing shelter in the applicant's service area is in danger of closing.
6. ESG funds are needed to address concerns creating minor health and safety issues for applicants that exhibit exceptional client services.
7. Maximum support services will be provided by the shelter in coordination with other human services agencies.
8. The shelter has substantial community/public support for the project.
9. Homeless individuals will be extensively involved in the operation of the shelter, or in other related activities. (for example, client mentoring programs).

- B. Pre-Award Site Visit:

The OEO staff may conduct a pre-award visit to shelters to make an on-site appraisal of the program.

- C. Notification:

The OEO will notify all applicants in writing and host a post-award workshop with the selected applicants.

PART IV: APPENDICES

1. APPENDIX A: Evaluation criteria
2. APPENDIX B: Certification of Local Government Approval form
3. APPENDIX C: ESG Federal Certifications
4. APPENDIX D: Safe Environs Certification
5. APPENDIX E: Section 106 Project Review and Environmental Review forms

EVALUATION PROCESS

Emergency Shelter Grants Program

Performance. Up to 15 points will be awarded based on the applicant's past performance with ESG. New applicants that have never received ESG or have not received it within the span of OEO record keeping will receive these points automatically. For applicants that have received ESG within the span of OEO record keeping the following criteria will apply:

1. Whether the applicant has complied with start-up guidelines.
2. Whether applicant has achieved Accomplishments as planned.
3. Timely and accurate submission of reports, monitoring responses, and other requested information.
4. Whether the applicant has maintained expenditure rates consistent with the elapsed time within the program year.
5. Whether the applicant has unresolved programmatic or audit monitoring concerns or findings.
6. Whether all grant funds were expended.
7. Whether the requested reimbursement contained excessive unallowable costs and/or requests for reimbursement required numerous corrections.

Applicant capacity. Up to 15 points will be awarded based on the extent to which the application demonstrates the capacity of the applicant agency. The application must demonstrate that the agency staff has adequate credentials and experience to carry out the proposed project. This means that in addition to knowledge of and experience in serving the homeless in general, the organization carrying out the project, its employees, or its partners, must have the necessary experience and qualifications to carry out the specific activities proposed. Factors to be considered will include: prior agency experience and results in the type of work being proposed; suitable agency fiscal capacity and organizational infrastructure to implement the project immediately; and employee experience and credentials in the area to be implemented. OEO's monitoring records of previously funded projects will also be included in determining applicant capacity.

Project quality. Up to 20 points will be awarded based on the extent to which the application demonstrates the quality of the project. The housing and services proposed must be appropriate to the needs of the target population. The application must demonstrate a clear understanding of the grant guidelines presented in the RFA, the needs of the clients, the services to be offered, and the effectiveness of the services in meeting those client's needs. Special consideration will be given to applications that demonstrate service to "at-risk" households, "chronically homeless" individuals (i.e. substance abuse programs, vocational rehabilitation, psychological counseling, and employment training), and that exemplify the agency's ability to assist the State in meeting its goals as outlined throughout the RFA. **Note: For applicants who propose preventive funds in their budget, if awarded, the agency must keep at least 75% of the proposed preventive funds in that line item.**

Need for Project. Up to 25 points may be awarded based on the extent to which the application demonstrates the need for the project. It must describe the need for the specific project compared against existing local services. The project may be judged to adequately describe the need for the project if it addresses the following points:

1. The need for the project is documented by use of waiting lists, references to similar programs, etc.
2. The project is consistent with the priorities described in the State's Consolidated Plan;
3. The project does not duplicate existing programs and services.

Operational Feasibility. Up to 15 points may be awarded based on the extent to which the application demonstrates the feasibility of the project. The application must include:

1. Clear and complete plans for implementing the project;
2. Adequate committed funding to implement the project;
3. An adequate strategy for securing additional support and commitment;
4. Adequate number of well-trained staff to carry out the proposed project;
5. Indicators that demonstrate that the project is ready to be implemented immediately (approximately 25% expenditure of funds within the first quarter);

Leveraging and Local Support. Up to 10 points may be awarded based on the extent to which the application demonstrates the organization's overall leveraging and maximum local support. The following will be considered:

1. All applications must provide a demonstration that a local match of cash and/or in-kind resources has been fully committed for the project in compliance with ESG regulations.
2. Applicants demonstrate substantial local support with movement towards a continuum of care strategy, which could include nonprofit organizations, governmental agencies, other providers, private foundations, neighborhood groups and others. This can be accomplished with letters of support and other commitments and should reflect broad-based community support and not be restricted to agencies affiliated with the formal human services delivery system.
3. The extent to which volunteers have been associated with the operation of the shelter and how they defray the costs of other professionals who otherwise would be required to perform their functions.

The scores for each factor will be added in order to obtain a total score for each application. The applications will then be ranked from highest to lowest according to the combined scores. Funding will be awarded to applications according to ranking, beginning with the highest score.

State of South Carolina
Emergency Shelter Grants Program
CERTIFICATIONS

I, _____ (name and title of official), authorized to act on behalf of the _____ (name of applicant), certify that if awarded Emergency Shelter Grant funds, I will comply with the following as appropriate:

- (1) The requirements of 24 CFR 576.25 (b)(2) concerning the submission by nonprofit organizations applying for funding of a certification of approval of the proposed project(s) from the unit of local government in which the proposed project is located.
- (2) The requirements of 24 CFR 576.51 concerning matching funds. Matching funds in the amount of the grant award will be made available. Funds used to match previous ESG grants will not be used to match any subsequent awards.
- (3) The requirements of 24 CFR 576.53 concerning the continued use of buildings for which Emergency Shelter Grant funds are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services, concerning the population to be served.
- (4) The building standards requirements of 24 CFR 576.55;
- (5) The requirements of 24 CFR 576.56, concerning assurances on services and other assistance to the homeless.
- (6) The requirements of 24 CFR 576.57, other appropriate provisions of 24CFR Part 576, and other applicable Federal law concerning nondiscrimination and equal opportunity.
- (7) The requirements of 24 CFR 576.59(b) concerning the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.
- (8) The requirements of 24 CFR 576.59 concerning minimizing the displacement of persons as a result of a project assisted with these funds.
- (9) The requirements of 24 CFR 576.56(a) and 576.65(b) that grantees develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the Emergency Shelter Grants Program and that the address or location of any family violence shelter project assisted with Emergency Shelter Grants funds will not be made public, except with written authorization of the person or persons responsible for the operation of such shelter.
- (10) The requirement that recipients involve, to the maximum extent practicable, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services for occupants of these facilities as provided by 24CFR 576.56(b)(2).
- (11) The requirements of 24 CFR 576.21(a)(4) which provide that the funding of homeless prevention activities for families that have received eviction notices or notices of termination of utility services meet the following standards: (A) that the inability of the family to make the required payments must be the result of a sudden reduction in income; (B) that the assistance must be necessary to avoid eviction of the family or termination of the services to the family; (C) that there must be a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and (D) that the assistance must not supplant funding for preexisting homeless prevention activities from any other source.
- (12) The new requirement of the McKinney-Vento Act, 42 USC 11301, to develop and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge

from immediately resulting in homelessness for such persons. I further understand that state and local governments are primarily responsible for the care of these individuals, and that ESG funds are not to be used to assist such persons in place of state and local resources.

- (13) The Drug Free Workplace requirements of 24 CFR Part 24 concerning the Drug Free Workplace Act of 1988.

I further certify that I will comply with the provisions of, and regulations and procedures applicable under, section 104(g) of the Housing and Community Development Act of 1974 with respect to the environmental review responsibilities under the National Environmental Policy Act of 1969 and related authorities as specified in 24 CFR Part 58.

I further certify that the submission on an application for an emergency shelter grant is authorized and that I possess legal authority to carry out emergency shelter grant activities in accordance with applicable law and regulations of the Department of Housing and Urban Development.

ATTACH ALL APPLICABLE AGENCY POLICIES THAT DEMONSTRATE ADHEREANCE TO THE ABOVE CERTIFICATIONS.

Date

Signature

Printed Name and Title

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION
LOWER TIER COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85. Section 85.510. Participant responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS BELOW)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Address of Participant:

Name and Title of Authorized Representative

Signature

Date

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction", "debarred", as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions", without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

CERTIFICATION REGARDING LOBBYING

OFFICE OF ECONOMIC OPPORTUNITY Emergency Shelter Grants Programs

Program: _____

Period: _____

The undersigned certifies, to the best of his/her knowledge and belief, that:

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31 USC. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Title

Agency/Organization

Date

SUB-GRANTEE/SHELTER

EMERGENCY SHELTER GRANTS PROGRAM

SAFE ENVIRONS CERTIFICATION

.....

We, _____, (Sub-Grantee) and _____
_____ (Shelter Operator), of the State of South Carolina, _____
_____ (County), do certify that every reasonable measure will be taken to ensure that this
shelter's environment is the safest possible. We guarantee to the extent possible, that these premises
_____ (Shelter Name), will be free of alcohol and
illegal drugs. Further, that the shelter residents and/or these premises will be protected from the illegal use,
possession, or distribution of alcohol and drugs.

We understand that our commitment to the State of South Carolina is made in the best interest of all shelter
residents and staff, knowing that an alcohol and drug-free environment better ensures our safety. While
every effort will be made to comply with these assurances, we understand that no services are to be denied
any client on the basis of failure to meet these objectives.

This certification is in compliance with the State of South Carolina's Comprehensive Housing Affordability
Strategy (CHAS) and is in agreement with the basic safety requirements set forth in the regulations governing
the Emergency Shelter Grants Program (see 24 CFR Part 24, Subpart f and 24 CFR Part 576.75).

**Year Physical Shelter Facility
Constructed:** _____

**Attach most recent inspections for the actual shelter facility, including lead-based paint, fire safety,
and sanitation.**

.....

Signature and Title of Authorized Official/State

Date

Signature and Title of Authorized Official/Sub-Grantee

Date

Signature and Title of Authorized Official/Shelter

Date

SECTION 106 PROJECT REVIEW FORM

APPLICANT _____ CONTACT PERSON _____

APPLICANT'S ADDRESS _____ CITY _____ STATE _____ ZIP _____

TELEPHONE _____

PROJECT NAME _____ COUNTY _____

1. Project Description

2. Attach a USGS topographic map or county map indicating the precise location of the project.

3. How many acres are in the project area? _____

4. Are there any structures on the property (houses, factories, barns, old garages, sheds, etc.)? YES ____ NO ____

5. If so, what is the approximate age of each structure?

6. Attach 35mm black and white photographs of front and rear elevations of any structures built before World War II.

7. Will the project involve a rehabilitation, relocation or demolition of any structures? Please explain

8. Are there any pre-World War II structures adjacent to the proposed project? YES ____ NO ____ (If so, attach 35mm black and white photographs)

9. Has the ground at the project location been disturbed other than by agriculture (grading, major landscape alterations, etc.)?

10. Describe the present use and condition of the property:

If necessary, elaborate on the above questions and include any additional information which you think would be helpful in the review of this project.

The completed form and clear location map (and any photographs) should be sent to the **State Historic Preservation Officer, S.C. Department of Archives and History, P.O. Box 11669, Columbia, S.C. 29211. Telephone (803) 734-8609.**

(Rev. 3/99)

STATE OF SOUTH CAROLINA
INSTRUCTIONS FOR COMPLETING THE STATUTORY WORKSHEET

For US Department of Housing and Urban Development (HUD) funded projects which are categorically excluded per 24 CFR § 58.35(a), the Responsible Entity (RE) must make a determination of whether the proposal achieves compliance with each applicable statute, Executive Order or regulation with or without requiring formal consultation procedures, mitigation, permits or having adverse effects on the resources protected by the statute. The Preparer of the Statutory Worksheet must **DOCUMENT OR ATTACH THE SOURCES OF THE DETERMINATION.**

RECORD THE FINDING STATUS ON THE STATUTORY WORKSHEET FOR EACH LISTED FEDERAL STATUTE, REGULATION, OR AUTHORITY AS FOLLOWS:

Status “A” applies when compliance with the authority is achieved without an adverse effect on the protected resource, without necessary mitigation or attenuation; **and** no formal consultation, permit, or agreement is required to establish compliance. In these situations enter **“A”** in the **Statutory Worksheet** status column.

Status “B” applies when compliance with the authority may have an adverse effect on the protected resource, necessitate mitigation or attenuation; **or** a formal consultation, permit, or agreement is required to establish compliance. In these situations enter **“B”** in the **Statutory Worksheet** status column; and, in accordance with HUD policy, retain evidence of completion and implementation of required procedures or mitigation with the project Environmental Review Record (ERR). Part B contains additional information regarding additional steps or formal procedures that must be completed prior to submitting a Request for Release of Funds (RROF) to HUD. Part B instructions provide only brief descriptions of findings needed to establish compliance and are not intended to replace the applicable regulations. For further information, consult the applicable regulations.

Historic Properties:

- A) “No Historic Properties are Affected” per 36 CFR § 800.4 (d)(1); **OR** The SHPO has not objected within 30 days to a fully documented determination of “No Historic Properties are Affected.”
- B) “No Historic Properties Are Adversely Affected” pursuant to 36 CFR § 800.5(d)(1) or “Historic Properties Are Adversely Affected” pursuant to 36 CFR § 800.5(d)(2). If the determination is “No Historic Properties Are Adversely Affected” document the determination and submit a RROF. If the determination is “Historic Properties Are Adversely Affected” consult with SHPO and Advisory Council on Historic Preservation pursuant to 36 CFR § 800.6 to resolve adverse affects or develop a Memorandum of Agreement (MOA) that outlines conditions for mitigating adverse effects; **OR** Reject the proposal. If the proposal is not rejected and a finding of “Historic Properties Are Adversely Affected” has been made attach documentation to indicate resolution adverse effects (The project is modified so that a finding is is changed to “No Historic Properties Are Adversely Affected”) or a copy of the MOA outlining the conditions for mitigating the adverse effects.

Floodplain Management:

- A) The project does not involve property acquisition, management, construction, or improvements within a 100-year floodplain (Zones A or V) identified by Flood Insurance Rate Maps (FIRMs); **OR** The project does not involve a “critical action” per 24 CFR § 55.2(b) (1) (i). If a FIRM is not available, the RE must make a finding based on best available data, for

example data from the City/County Engineer, Local Floodplain Administrator, or US Army Corps of Engineers. Attach a copy of the appropriate FIRM to verify that the activity is not occurring within a 100-year floodplain or 500-year floodplain for critical actions.

- B)** The project does involve property acquisition; management, construction, or improvements within a 100-year floodplain; **OR** The project does involve a “critical action” within a 500-year floodplain. Complete the 8-step decision making process according to 24 CFR § 55.20 to document that there are no practicable alternatives to the proposal; and develop procedures to mitigate for the effect of the project in a floodplain; **OR** Reject the proposal. If the proposal is accepted and no practicable alternative available, proof of participation in the National Flood Insurance Program must be attached. Copies of the published notices must also be attached.

Wetland Protection:

- A)** The project does not involve new construction within wetlands identified in accordance with the 1987 *US Army Corps of Engineers (USACE) Wetland Delineation Manual*. Attach documentation verifying the avoidance of new construction in wetlands.
- B)** The project does involve new construction within wetlands identified in accordance with the 1987 *USACE Wetland Delineation Manual*. Complete the 8-step decision making process in 24 CFR § 55.20 to document that there are no practicable alternatives; and develop procedures to mitigate for the effect of the project on the wetland(s); **OR** Reject the proposal. Filling of wetlands may also require prior authorization from the USACE and S.C. Department of Health and Environmental Control–Bureau of Water (SCDHEC-BOW) under Sections 404 and 401 of the Clean Water Act. If the proposal is accepted and no practicable alternative available, copies of the published notices must be attached. Where applicable, attach letters of authorization and verification for activities requiring USACE or SCDHEC-BOW authorization.

Coastal Zone Management Act:

- A)** The project is not occurring within one of the 8 Coastal Counties covered under the Coastal Zone Management Act (CZMA).
- B)** The project is occurring within one of the 8 Coastal Counties covered under the CZMA. A determination of consistency with the Coastal Management Plan must be secured from the SCDHEC-Office of Ocean and Coastal Resource Management. Attach a copy of the determination of consistency.

Sole Source Aquifers:

- A)** There are no sole source aquifers in South Carolina; therefore, this authority does not apply to any HUD projects in South Carolina.
- B)** Not applicable to South Carolina.

Endangered Species Act:

- A)** The project will have “No Effect” any federally listed Threatened or Endangered Species. This finding is to be based on correspondence with the U.S. Fish and Wildlife Service (USFWS) or National Marine Fisheries Service (NMFS), or the results of a site visit by a competent biologist or botanist. Consultation with the USFWS or NMFS is optional for “No Effect” determinations; however, documentation must be contained in the file to support the conclusion of “No Effect” Supporting documentation includes county lists indicating the absence of federally listed species in the county where the project is occurring or biological evaluations indicating the absence of habitat for listed species. Attach a copy of any reports or

correspondence indicating that the project will have “No Effect” to any federally listed Threatened and Endangered species.

- B)** The project “Is Not Likely To Adversely Affect” or “Is Likely To Adversely Affect” a federally protected Threatened or Endangered Species; **OR** The project is considered a “major construction” activity as defined in the National Environmental Policy Act (42 U.S.C. 4332[2][C]); **OR** Reject the proposal. For a determination of “Is Not Likely To Adversely Affect” concurrence must be obtained from the USFWS or NMFS via completion of the Informal Section 7 Consultation process. For a determination of “Is Likely to Adversely Affect” the complete Formal Section 7 Consultation with the USFW or the NMFS, must be completed in accordance with procedural regulations contained in 50 CFR § 402. If the proposal is not rejected, attach a copy of correspondence, findings, and approved mitigation measures generated by completion of either the Informal or Formal Section 7 Consultation process.

Wild and Scenic Rivers Act:

- A)** The project is not located within one mile of a listed Wild and Scenic River; **OR** The project will have no affect on the natural, free flowing, or scenic qualities of a river in the National Wild and Scenic Rivers system. See http://www.nps.gov/rivers/wildriverslist.html#ga_nc_sc for a list of Wild and Scenic Rivers in or near South Carolina.
- B)** The project is located within one mile of a listed Wild and Scenic River; **OR** The project will affect the natural, free flowing, or scenic qualities of a river in the National Wild and Scenic Rivers system; **OR** Reject the proposal. Consult with the National Park Service or USFWS to resolve or mitigate adverse effects. If the proposal is not rejected, attach documentation of resolution or mitigation of adverse effects.

Clean Air Act:

- A)** The project does not require an Air Quality Permit from from the SC Bureau of Air Quality, or the emissions are considered de minimis and exempt from the determination of conformity requirements; **AND** The project does not require an individual National Emission Standards for Hazardous Air Pollutants (NESHAP) permit or notification.
- B)** The project does require an Air Quality Permit from from the SC Bureau of Air Quality, or the emissions are not de minimis and a determination of conformity is required; **OR** The project does require an individual National Emission Standards for Hazardous Air Pollutants (NESHAP) permit or notification. Obtain the appropriate Air Quality Permit, implement the permit conditions, and any mitigation measures that may be required; **OR** Obtain the necessary NESHAP permit and issue required notices; **OR** Reject the Proposal. If the proposal is not rejected, attach copies of the Air Quality Permit or the NESHAP with documentation of procedures that will be implemented to insure compliance with permit conditions and any required mitigation measures.

Farmland Policy Protection Act:

- A)** The project site is located within an “urbanized area” on the Census Bureau Map, an urban area on the USGS topographical map (as indicated by a “tint overprint”), an “urban built-up” area on a USDA Important Farmland Maps, or an area shown as white (not farmland) on USDA Important Farmland Maps; **OR** Consultation with the Natural Resources Conservation Service (NRCS) (formerly the Soil Conservation Service) indicates that the site is not considered prime or unique farmland, or other farmland of statewide or local importance.

- B)** Consultation with the NRCS indicates that the site is considered prime or unique farmland, or other farmland of statewide or local importance. Request valuation of land type from the NRCS using Form AD-1006, and consider the resulting rating in deciding whether to approve the proposal, as well as mitigation measures (including measures to prevent adverse effects on adjacent farmlands); **OR** Reject the proposal. If the proposal is not rejected, attach documentation of resolution or mitigation of adverse effects.

Noise Abatement and Control:

- A)** The project is not located within 1000 feet of a major or arterial roadway, 3000 feet of a railroad, 5 miles of a civil airport, or 15 miles of a military airfield; **OR** The project is located within 1000 feet of a major or arterial roadway, or 3000 feet of a railroad; and the outdoor Day-Night Average Sound Level (DNL) is less than 65 decibels (dB) according to HUD “Noise Assessment Guidelines” (NAG); **OR** The project is located within 5 miles of a civil airport or 15 miles of a military airfield; and the activity lies outside the 65 dB DNL contour on an approved Airport Noise Contour map.
- B)** The project is located within 1000 feet of a major or arterial roadway, or 3000 feet of a railroad; and the DNL is greater than 65 dB according to HUD NAG; **OR** The project is located within 5 miles of a civil airport or 15 miles of a military airfield; and the activity lies within the 65 dB DNL contour on an approved Airport Noise Contour map. Implement noise attenuation measures per 24 CFR § 51.104 (a); **OR** Reject the proposal. Projects located in the Normally Unacceptable Noise Zone (DNL of 65dB – 75 dB) require Special Environmental Clearance or an Environmental Impact Statement (EIS) if the proposed project is located in a largely undeveloped area per 24 CFR § 51.104 (b). Projects located in the Unacceptable Noise Zone (DNL greater than 75 dB) require an EIS, unless noise is the only environmental issue and no outdoor activity will occur on the project site.

Explosive and Flammable Operations:

- A)** The project is located at an Acceptable Separation Distance (ASD) from aboveground storage facilities containing explosive or flammable materials per guidelines in “Siting of HUD-Assisted Projects Near Hazardous Facilities” **OR** The project will expose neither people or buildings to explosive hazards.
- B)** The project is not is located at an ASD from aboveground storage facilities containing explosive or flammable materials per guidelines in “Siting of HUD-Assisted Projects Near Hazardous Facilities”. Mitigate the blast overpressure or thermal radiation hazard with the construction of a barrier of adequate size and strength to protect the project per 24 CFR § 51.205; **OR** Reject the proposal. If the proposal is not rejected, attach a copy of the specifications for the proposed construction barrier.

Airport Clear Zones and Accident Potential Zones:

- A)** The project is not located within a designated civilian airport Runway Clear Zone (RCZ), or within a military airfield Clear Zone (CZ) or Accident Potential Zone (APZ), based upon information from the airport or military airfield administrator identifying the boundaries of such zones; **OR** The project involves an activity that will not make land available for construction, prolong facility life, change facility use, increase human occupancy or use, or introduce flammable, explosive or toxic materials; **OR** The project involves only the sale or purchase of an existing property in the RCZ or CZ.
- B)** The project is located within a designated civilian airport RCZ, or within a military airfield CZ or APZ; and involves an activity that will make land available for construction, prolong facility

life, change facility use, increase human occupancy or use, or introduce flammable, explosive or toxic materials. It is HUD policy not to provide any development assistance; subsidy or insurance in RCZs or CZs unless the project will not be frequently used or occupied by people and the airport operator provides written assurances that there are no plans to purchase the project site. In cases where HUD assistance is provided, the buyer shall be notified that the property is in a RCZ or CZ along with the implications of acquiring property in a RCZ or CZ. HUD assisted projects located within APZs must be consistent with Land Use Compatibility Guidelines for APZs found at 32 CFR § 265.

Toxic Chemicals and Radioactive Materials:

- A) The subject and adjacent properties are not affected by hazardous materials, contamination, toxic chemicals, gasses, or radioactive substances that could affect the health or safety of occupants, or conflict with the intended use of the subject property. Particular attention should be given to nearby dumps, landfills, industrial sites, and other operations with hazardous wastes.
- B) The subject or adjacent properties are affected by hazardous materials, contamination, toxic chemicals, gasses, or radioactive substances that could affect the health or safety of occupants, or conflict with the intended use of the subject property. Mitigate the adverse environmental condition by removing, stabilizing, or encapsulating the toxic substances in accordance Federal, state or local guidelines; **OR** Reject the proposal. If the proposal is not rejected, attach documentation of remediation or mitigation the environmental condition.

Environmental Justice:

- A) The project site will not be impacted by harmful environmental conditions having a disproportional impact on low income or minority populations.
- B) The project site will be impacted by harmful environmental conditions having a disproportional impact on low income or minority populations. Address and mitigate the disproportional human health or environmental affects adversely affecting the low income or minority populations **OR** Reject the proposal. If the proposal is not rejected, attach documentation of resolution or mitigation of adverse effect

STATUTORY WORKSHEET

24 CFR §58.5 STATUTES, EXECUTIVE ORDERS & REGULATIONS

Use this worksheet only for projects which are Categorically Excluded per 24 CFR Section 58.35(a).

PROJECT NAME and DESCRIPTION - Include all contemplated actions which logically are either geographically or functionally part of the project: _____

This project is determined to be **Categorically Excluded** according to: [Cite section(s)] _____

DIRECTIONS - Write "A" in the Status Column when the project, by its nature, does not affect the resources under consideration; OR write "B" if the project triggers formal compliance consultation procedures with the oversight agency, or requires mitigation (see Statutory Worksheet Instructions). Compliance documentation must contain verifiable source documents and relevant base data.

Compliance Factors:

Statutes, Executive Orders, and Regulations listed at 24 CFR §58.5	A/B	<u>Compliance Documentation</u>
Historic Properties [36 CFR Part 800]		
Floodplain Management [24 CFR 55, Executive Order 11988]		
Wetland Protection [Executive Order 11990]		
Coastal Zone Management Act [Sections 307(c) and (d)]		
Sole Source Aquifers [40 CFR 149]	A	No sole source aquifers are located within SC. See www.epa.gov/safewater/swp/ssa/reg4.html
Endangered Species Act [50 CFR 402]		
Wild and Scenic Rivers Act [Sections 7(b), and (c)]		
Clean Air Act [Sections 176(c) and (d)]		
Farmland Protection Policy Act [7 CFR 658]		
Noise Abatement and Control [24 CFR 51B]		
Explosive and Flammable Operations [24 CFR 51C]		
Airport Clear Zones and Accident Potential Zones [24 CFR 51D]		
Toxic Chemicals and Radioactive Materials [24 CFR 58.5(i)(2)]		
Environmental Justice [Executive Order 12898]		

STATUTORY WORKSHEET

DETERMINATION:

- () This project converts to Exempt, per Section 58.34(a)(12), because it does not require any mitigation for compliance with any listed statutes or authorities, nor requires any formal permit or license (Status "A" has been determined in the status column for all authorities); **Funds may be drawn down** for this (now) EXEMPT project;
OR
- () This project cannot convert to Exempt because one or more statutes/authorities require consultation or mitigation. Complete consultation/mitigation requirements, publish NOI/RROF and obtain Authority to Use Grant Funds (HUD 7015.16) per Section 58.70 and 58.71 before drawing down funds; OR
- () The unusual circumstances of this project may result in a significant environmental impact. This project requires preparation of an Environmental Assessment (EA). Prepare the EA according to 24 CFR Part 58 Subpart E.

PREPARER SIGNATURE: _____ DATE: _____

PREPARER NAME & TITLE (please print): _____

RESPONSIBLE ENTITY CERTIFYING OFFICIAL SIGNATURE: _____

NAME & TITLE (please print): _____ DATE: _____

**Compliance Documentation Checklist
24 CFR 58.6**

PROJECT NAME / DESCRIPTION: _____

Level of Environmental Review Determination: _____

(Select One: Exempt per 24 CFR 58.34, Categorically Excluded not subject to statutes per § 58.35(b), Categorically Excluded subject to statutes per § 58.35(a), or Environmental Assessment per § 58.36, or EIS per 40 CFR 1500).

STATUTES AND REGULATIONS LISTED AT 24 CFR 58.6

FLOOD DISASTER PROTECTION ACT

1. Does the project involve acquisition, construction or rehabilitation of structures located in a FEMA-identified Special Flood Hazard?

() No - Source Documentation: _____

() Yes – Continue To Question 2.

2. Is the community participating in the National Flood Insurance Program (or has less than one year passed since FEMA notification of Special Flood Hazards)?

() Yes - Flood Insurance under the National Flood Insurance Program must be obtained and maintained for the economic life of the project, in the amount of the total project cost. A copy of the flood insurance policy declaration must be kept on file.

() No - **Federal assistance may not be used in the Special Flood Hazards Area unless the community is participating in the National Flood Insurance Program.**

COASTAL BARRIERS RESOURCES ACT

1. Is the project located in a coastal barrier resource area?

() N/A - Non-coastal county.

() No – Coastal counties must cite source documentation: _____

(This element is completed).

() Yes - **Federal assistance may not be used in such an area.**

AIRPORT RUNWAY CLEAR ZONES AND CLEAR ZONES DISCLOSURES

1. Is the project located within 3,000 feet from the end of the runway at a civil airport? Is the project located within 2.5 miles from the end a runway at a military airfield?

() No - Source Documentation: _____

(This element is completed).

() Yes – Continue to Question 2.

2. Does the project involve the sale or acquisition of existing property within a Civil Airport's Runway Clear Zone or a Military Installation's Clear Zone?

() No - Source Documentation: _____

(Project complies with 24 CFR 51.303[a][3]).

() Yes – **A disclosure statement must be provided** to buyer and a copy of the signed disclosure must be maintained in this Environmental Review Record.

Prepared by (name and title, please print): _____

Signature: _____

Date: _____

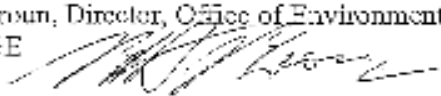


U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-7000

OFFICE OF COMMUNITY PLANNING
AND DEVELOPMENT

MAR 28 2006

MEMORANDUM FOR: Regional Environmental Officers
Field Environmental Officers

FROM: Richard H. Brown, Director, Office of Environment and
Energy, DCE 

SUBJECT: Guidance for categorizing an activity as maintenance for compliance
with HUD's environmental regulations, 24 CFR Parts 50 and 58

This memo clarifies the difference between maintenance and repair for compliance with HUD's environmental regulations, 24 CFR Parts 50 and 58, and expands upon the May 5, 1989 policy memorandum—Policy: Flood Insurance Requirements Not Applicable to Building Maintenance. In that memo, HUD determined that national flood insurance requirements do not apply to HUD financial assistance used for "routine maintenance" of buildings located within Special Flood Hazard Areas.

Environmental reviews for repair activities are more extensive, requiring compliance with related federal environmental laws in §50.4 and §58.5, including the National Historic Preservation Act of 1966. In contrast, maintenance activities do not require compliance with federal environmental laws. (See 24 CFR 50.19(b)(13) and 58.35(b)(3)). Distinguishing between maintenance and repair activities requires careful examination. Unless the activity meets the definition of maintenance provided below, the activity should be considered a repair or improvement, and the environmental review will require compliance with the related federal environmental laws at §50.4 or §58.5. Unlike repair and improvements, maintenance activities do not materially add to the value of the building, appreciably prolong its useful life, or adapt it to new uses.

Definition-- Maintenance activities are:

- (1) cleaning activities;
- (2) protective or preventative measures to keep a building, its systems, and its grounds in working order; or
- (3) replacement of appliances or objects that are not fixtures or part of the building. A fixture is an object that is physically attached to the building and cannot be removed without damage to the building, and includes systems designed for occupant comfort and safety such as HVAC, electrical or mechanical systems, sanitation, fire suppression, and plumbing. Fixtures also include, but are not limited to, kitchen cabinets, built-in shelves, toilets, light fixtures, staircases, crown molding, sinks, and bathtubs.