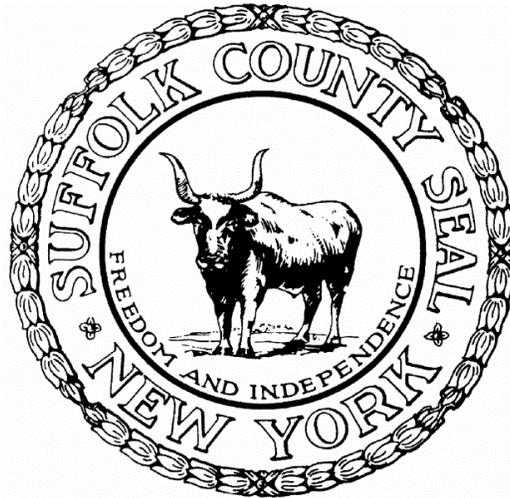


**SUFFOLK COUNTY  
COMMUNITY DEVELOPMENT**



**Emergency Solutions Grant  
Program Guidelines and Application**

**2015 Program Year**

**Due Date: Monday, December 1, 2014**

## **Emergency Solutions Grant (ESG) Overview**

The ESG program is authorized by the McKinney-Vento Homeless Assistance Act funded through the U.S. Department of Housing and Urban Development (HUD) as amended by the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act). This federally funded program is administered through HUD by a formula allocation to ESG entitlement localities and states.

The Suffolk County Community Development Office (SCCD) is responsible for administering the county's ESG allocation. The county allocation minus 7.5 percent for local government administrative costs will be allocated to non-profits.

The goals of the ESG program are that:

- Individuals and families at-risk of homelessness obtain and maintain appropriate permanent housing; and
- Individuals and families experiencing homelessness obtain and maintain appropriate permanent housing.
- Individuals and families who are not currently homeless, but are at risk of imminent homelessness are prevented from becoming homeless

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

## **Funding Levels**

The estimated total funding available for annual distribution through this competitive application is approximately \$246,000 based on 2014 funding levels. Please note that actual HUD funding levels have not been determined at the writing of this document and could vary significantly from current year funding levels.

SCCD does not anticipate making any awards greater than \$50,000 for street out-reach, shelter rehabilitation, shelter operational costs or essential services proposals; however SCCD will consider making higher awards to proposals for homeless prevention and rapid-rehousing services (see Eligible Programs for specifics).

SCCD will review recipient performance at least semi-annually and reserves the right to de-obligate and reallocate funds throughout the grant term. Timely spending and voucher draws are imperative.

Administrative costs are not eligible costs for non-profit applicants.

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

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

### **Applicant Eligibility**

Applicants must be non-profits and current on 990 filings.

Organizations that are religious or faith-based are eligible, on the same basis as any other organization, to receive ESG funds. §576.406 shall apply to those receiving funds.

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

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

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

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

Continuum of Care participation is required. All applicants must provide CoC participation certification.

Applicants must certify that they will fully utilize the Homelessness Management Information System (HMIS) for their area. HMIS utilization is mandatory unless the organization is a domestic violence shelter/services provider.

**Although domestic violence programs are exempt from the HMIS requirement they will be required to provide aggregate data for reporting purposes.**

All recipients must match their ESG allocation with an equal amount of other federal, state and local resources (cash and non-cash) in accordance with the revised matching requirements at 24 CFR 576.201.

## Key Applicant Eligibility Factors

- Non-profit
- No outstanding findings or other issues
- Experienced homeless services/prevention provider
- Must be able to meet recordkeeping and reporting requirements including HMIS utilization (exception for domestic violence programs)
- Must be certified as local CoC participant
- Proposal must be in line with SCCD's Five Year Consolidated Plan

### Eligible Program Participants

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

<b>Homeless Status Eligibility</b>	
(1)	<b>An individual or family</b> who lacks a fixed, regular and adequate nighttime residence as defined by §576.2(1)(i)(ii)(iii);
(2)	<b>An individual or family</b> who will imminently lose their primary nighttime residence as provided by §576.2(2)(i)(ii)(iii);
(3)	<b>Unaccompanied youth</b> under 25 years of age, or <b>families with children and youth</b> , who do not otherwise qualify as homeless under this definition but who are defined as homeless under §576.2(3)(i)(ii)(iii)(iv);
(4)	<p><b>An individual or family:</b></p> <p>(A) who is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary residence or has made the individual or family afraid to return to their primary nighttime residence;</p> <p>(B) has no other residence; and</p> <p>(C) Lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, to obtain permanent housing.</p>

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

<b>At-Risk of Homelessness Status Eligibility</b>	
<b>An individual or family who:</b>	
(1)	has income below 30 percent of the median area family income as defined by HUD*; <b>AND</b>
(2)	Does not have sufficient resources or support networks, e.g., family, friends, faith-based or other social networks, immediately available to prevent them from moving to an emergency shelter or another place describe in as described in paragraph (1) of the “homeless definition in §576.2; <b>AND</b>
(3)	<p><b>Meets one of the following conditions:</b></p> <p>Has moved because of economic reasons two or more times during the 60 days immediately preceding the application for homelessness prevention assistance;</p> <p>Is living in the home of another because of economic hardship;</p> <p>Has been notified in writing that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance;</p> <p>Lives in a hotel or motel and the cost of the hotel or motel stay is not paid by charitable organizations or by Federal, State, or local government programs for low-income individuals;</p> <p>Lives in a single-room occupancy or efficiency apartment unit in which there reside more than two persons or lives in a larger housing unit in which there reside more than 1.5 persons reside per room, as defined by the U.S. Census Bureau;</p> <p>Is exiting a publicly funded institution, or system of care (such as a health-care facility, a mental health facility, foster care or other youth facility, or correction program or</p>
(4)	<b>A child or youth</b> under who does not qualify as “homeless” under this section, but qualifies as “homeless” as defined under §576.2(2)(3);

\*See Determination of Income section of these guidelines.

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

**Determination of Income Eligibility**

All households at-risk of homelessness served with ESG must meet the HUD definition of at-risk including having household income at 30 percent or below area median income (AMI). The definition of household income for the purpose of this program is based on HUD’s Section 8 income eligibility standards.

Area median income by household size for Suffolk County is available at:

<http://www.suffolkcountyny.gov/Departments/EconomicDevelopmentandPlanning/CommunityDevelopment.aspx>

[Suffolk County uncapped income limits](#)

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

### **Eligible Programs**

Eligible programs are **Street Outreach** (essential services), **Emergency Shelter** (major rehabilitation, conversion or renovation, essential services, shelter operations), **Homeless Prevention** (case management, housing relocation and stabilization services and short and/or medium-term rental/utility assistance) and **Rapid Re-Housing** (housing relocation/stabilization services and short and/or medium-term rental assistance).

Please note that eligible program activity types and cost categories are based on current SCCD and HUD program design and may be subject to change.

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

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

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

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

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

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

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

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

The amount and length of rent subsidies is based on need and must not exceed 24 months during any three year period. Rental arrears consist of a one-time payment for up to 6 months of rent in arrears, including late fees on those arrears.

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

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

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

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

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

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

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

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

Please note that eligible homeless prevention costs outlined in this guideline are based on current ESG federal regulations and may be subject to change.

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

<b>Eligible Program Type</b>	<b>Purpose</b>	<b>Eligible Costs</b>
Street Outreach (essential services)	Reaching out to unsheltered homeless individuals and families, connecting them with emergency shelter, housing, or critical services, and providing them with urgent, non-facility-based care.	Engagement, case management, emergency health and mental health services, and transportation.
Emergency Shelter	Major rehabilitation, conversion, or renovation of a building to serve as a homeless shelter. Site must serve homeless persons for a least 3 to 10 years, depending on the cost.	Property acquisition and new construction are <b>ineligible</b> ESG activities.
Emergency Shelter	Essential services.	Case management, childcare, education services, employment assistance and job training, outpatient health services, substance abuse treatment services, transportation, and services for special populations.
Emergency Shelter	Shelter operations	Maintenance, rent, repair, security, fuel, equipment, insurance, utilities, relocation, and furnishings.

Eligible Program Type	Purpose	Eligible Costs
Homeless Prevention	<p>Housing relocation and stabilization services and short and/or medium-term rental/utility assistance as necessary to prevent the individual or family from becoming homeless if:</p> <ul style="list-style-type: none"> <li>Annual income of the family is below 30% of median family income.</li> <li>Assistance is necessary to help program participants regain stability in their current permanent housing or move into other permanent housing and achieve stability in that housing.</li> </ul>	<p>Utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.</p>
Rapid Re-Housing	<p>Housing relocation and stabilization services and short and/or medium-term rental assistance as necessary to help individuals or families living in shelters or in places not meant for human habitation move as quickly as possible into permanent housing and achieve stability in that housing.</p>	<p>Utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.</p>

**Ineligible** costs include, but may not be limited to:

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

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

### **Documentation of Homelessness or At-Risk Status**

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

Recipients will be monitored for compliance with this documentation requirement.

### **Property Standards**

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

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

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

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

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

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

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

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

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

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

### **Financial Management**

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

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

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

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

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

Recipients will be monitored for required documentation and compliance with the program requirements.

A compliance monitoring may review the following:

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

### **Audits**

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

### **Time sheets**

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

### **Method of Payment**

Recipients must submit Requests for Reimbursement. The Requests for Reimbursement are reviewed by SCCD staff and approved for reimbursement based on the information submitted. ESG monitoring will review full source documentation for specific reimbursement periods. Any item found to be ineligible and/or unsupported will not be reimbursed. SCCD reserves the right to reduce subsequent reimbursements by the amount of any ineligible and/or unsupported cost. Any recipient with unresolved findings or compliance issues may have reimbursement suspended. Any applicant with unresolved findings or compliance issues is ineligible for ESG funding through this program.

### **DUNS Number**

All recipients are required to register with Dun and Bradstreet to obtain a DUNS number if they have not already done so. For more information see 73 FR23483, April 30, 2008 or go to: [http://www.dnb.com/US/duns\\_update/](http://www.dnb.com/US/duns_update/).

### **Central Contractor Registration (CCR)**

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

### **Recordkeeping**

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

### **Monitoring**

SCCD is responsible for monitoring all ESG activities carried out by a recipient to ensure that the program requirements established by HUD and SCCD are met. Monitoring may also be conducted by the local HUD Office of Community Planning and Development, HUD's Office of Special Needs Assistance Programs, HUD's Office of Inspector General, HUD's Office of Fair Housing and Equal Opportunity or another federal agency to determine whether the recipient complied with the requirements of this program.

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

- Program participant files
- Intake packets

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

### **HMIS**

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

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

### **Other Requirements**

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

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

### **Non-discrimination and Equal Opportunity**

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

### **Fair Housing and Americans with Disabilities Act**

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

If the provision of supportive services is part of the housing program, then these services

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

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

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

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

- Inquiry into an applicant's ability to meet the requirements of ownership or tenancy;
- Inquiry to determine whether an applicant is qualified for a dwelling available only to persons with handicaps or to persons with a particular type of handicap;
- Inquiry to determine whether an applicant for a dwelling is qualified for a priority available to persons with handicaps or to persons with a particular type of handicap;
- Inquiry to determine whether an applicant for a dwelling is a current illegal drug abuser or addict of a controlled substance;
- Inquiry to determine whether an applicant has been convicted of the illegal manufacture or distribution of a controlled substance.

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

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

Four types of obligations must be met:

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

Additional guidance can be found at:

[http://www.nlchp.org/content/pubs/Q&A\\_DV\\_CivilRightsJuly%2020091.pdf](http://www.nlchp.org/content/pubs/Q&A_DV_CivilRightsJuly%2020091.pdf)

### **Conflict of Interest**

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

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

### **Limits on Funding to Primarily Religious Organizations**

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

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

Requiring that a program participant attend religious services or meetings as a condition of receiving other social services at the organization (such as shelter or a meal) is not allowed under this provision. Allowing participants to choose to take part in services or meetings

offered by the organization as they wish, separate from the ESG-funded activities provided, is allowable.

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

#### Minority-Owned and Women-Owned Business and Section 3

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

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

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

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

#### **Proposal Evaluation Criteria**

All proposals received by the deadline (5 P.M. on Monday, December 1, 2014) that meet minimum threshold requirements will be reviewed and ranked by SCCD in consultation with the local CoC.

Threshold Criteria:

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

All proposals meeting the minimum threshold requirements will be reviewed and ranked based on the following criteria:

- **Need**

1. Does the proposal seek to fill what would otherwise be a gap in homeless services for this specific geographic area?
2. Does the proposal support local coordinated efforts?
3. Level of coordination with other providers
4. Level of community planning
5. Does the proposal (proposed budget and budget narrative) demonstrate a need for the requested funding?
6. Is there clearly a demand for the program in the area?
7. How critical is the need in the area?
8. Does the proposed program include any special features that would enhance the proposal's ability to meet the target population's needs?
9. How credible is the evidence to support the local need?

- **Approach**

1. How experienced is the applicant with providing similar services and assistance?
2. How experienced is the applicant in working with the target population?
3. How well is the proposal coordinated with other activities and funding sources in the area?
4. Does the proposed program appear to be based on proven methods and/or is the program able to demonstrate good outcomes?
5. Do the program costs appear reasonable?
6. Do the program outcomes and objectives appear reasonable?
7. Does the proposal support Federal and State goals?
8. Will individuals and families experiencing homelessness access permanent housing in a timely manner?
9. Will there be a reduction in the length of shelter stay?
10. Will the program prevent homelessness?
11. Will the program prevent homelessness?

- **Capacity**

1. How experienced is the applicant with providing similar services and assistance?
2. Does there appear to be a plan for appropriate program oversight?
3. Does the applicant demonstrate effective grant management experience?
4. Does the applicant demonstrate adequate capacity for data collection and reporting?
5. How many, and what type of findings, concerns or other compliance issues has the agency had during the past 2 program years?
6. To what degree does the program leverage other resources?

**SCCD reserves the right to make adjustments to ESG requested amounts. SCCD reserves the right to make provisional funding commitments in order to address local needs.**

## Application Instructions

### General Directions

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

### Submission Requirements

Applications for ESG funding must be received at SCCD by 5:00 PM Monday, December 1, 2014. Applications received after the deadline **will not be accepted** and the applicant will not be considered for funding.

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

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

Suffolk County Community Development  
H. Lee Dennison Building, 2<sup>nd</sup> Floor  
PO Box 6100  
Hauppauge, NY 11788

Hand delivered applications must be received at SCCD by the deadline.

Hand written applications will not be accepted.

Attachments (originals) must have original signatures.

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**I. General Organizational Information**

A. Applicant Organization:

B. Address:

C. Contact Person:

D. Year(s) organization/shelter has been functioning:

E. Telephone Number:

F. Fax Number:

G. Email Address:

H. Total Amount of ESG Dollars Requested: \$

I. Total Amount of ESG Dollars Awarded  
To Your Organization by Suffolk County in 2013: \$

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**II. Activity Information**

A. Brief description of your agency's present program(s) to prevent homelessness and/or serve the homeless in Suffolk County. Include target population, services, housing, etc. (Your mission statement)

**B. Project #1 Name:**

**Project #2 Name:**

**C. Address for Project #1:**

1. owned (attach deed)

- Yes  no  
 not applicable

2. rented (attach lease)

- yes  no  
 not applicable

**Address for Project #2:**

1. owned (attach deed)

- yes  
 no  
 not applicable

2. rented (attach lease)

- yes  
 no  
 not applicable

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**D. Project Description(s) and Anticipated Accomplishments during the Program Year:**

Provide a brief description of proposed activity, including the number of persons expected to be served. If essential services are to be provided by another entity or at a separate location, please identify the entity and/or location. For rehabilitation work, please be as descriptive as possible. Use additional pages as necessary.

**E. Please check all applicable proposed program activities** in accordance with 24 CFR 576.101 and 24 CFR 576.107 (See attached Guidelines for Eligible Activities)

street outreach       emergency shelter       rapid rehousing       homeless prevention

**F. If funding for essential services or homeless prevention services is being sought**, is the service a *new* service?       YES       NO

**G. Performance Measurement:\*** Please provide a brief description of the expected outcome of this activity. (i.e., 200 persons will have new access to a shelter for the purpose of providing decent housing or rehabilitation of an existing shelter will reduce the operating costs due to energy efficiency improvements) Use additional pages as necessary.

**H. Experience:** Briefly describe the experience of your organization in implementing the activities that you have proposed in the application. Specifically, include the years of experience of staff and your organization. Use additional pages as necessary.

[Through CPD Notice 03-09](#), the US Department of HUD strongly encouraged each CPD formula grantee to develop and use a state or local performance measurement system. Performance measurement is simply an organized process for gathering information to determine how well programs and projects are meeting needs, and then using that information to improve performance and better target resources. A joint HUD/OMB Grantee Outcome Measurement framework was developed by a working group made up representatives from NACCED, NCDA, COSCDA, NAHRO, HUD and OMB. This section is based upon that guidance.

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**I. What steps have been undertaken**, or will be undertaken, to ensure timely completion of this project or activity?

**J. Anticipated Project Start date:**

**K. Anticipated Project Completion date:**

**L. Additional HUD Activity Set Up Information:**

Is the Primary Purpose of the activity to:	<b>YES</b>	<b>NO</b>
Help Prevent Homelessness?	<input type="checkbox"/>	<input type="checkbox"/>
Help the Homeless?	<input type="checkbox"/>	<input type="checkbox"/>
Help Those with HIV/AIDS	<input type="checkbox"/>	<input type="checkbox"/>
Help Persons with Disabilities?	<input type="checkbox"/>	<input type="checkbox"/>

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**III. Organizational Budget Information**

**A. Total Program Budget**

Please provide a program budget listing all expected sources of funds. Attach copies of any funding commitment letters or requests for funding from all other sources.

<b>Total Program Budget</b>	<b>2015 Project Budget</b>	<b>Funding Requested for 2015</b>
<b>Budget</b>	<b>\$ amount</b>	<b>\$ amount</b>
Suffolk County ESG		
Other Federal (List)		
1)		
2)		
3)		
State		
Suffolk County DSS		
Local Government		
Private		
Organizational Contribution (List Sources)		
1)		
2)		
3)		
<b>Total Project Cost:</b>		

If more space is needed, please attach separately.

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**B. ESG Budget Details**

Please provide a detailed budget of the intended use of the requested Emergency Solution Grants funding from Suffolk County Community Development.  
(See attached Guidelines for definitions of terms / Eligible Activities)

<b>ESG Funding Request Program Budget</b>	<b>Street Outreach</b>	<b>Emergency Shelter</b>	<b>Rapid Re-housing Activities</b>	<b>Homeless Prevention</b>
<b>Program Budget</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
<b>Total Project Cost:</b>				

**IV. Past Performance**

A. Please describe any past experience with the Emergency Shelter Grants Program.

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**CERTIFICATION OF PARTICIPATION IN CONTINUUM OF CARE  
ATTENDANCE AND PARTICIPATION FORM**

All ESG applicants must submit this Form, completed by the chairperson of their Continuum of Care, with their Emergency Shelter/Solutions Grant Application.

Attention CoC Leaders: Please complete the information below and check the appropriate level of participation. Funding consideration will be based in part on the extent of the applicant's participation in the local CoC.

**To Be Completed by Applicant:**

Date: \_\_\_\_\_

Agency Applying: \_\_\_\_\_

Agency applying for ESG funding in : Suffolk County

**To Be Completed By CoC Lead Agency:**

CoC Leader Print Name: \_\_\_\_\_

CoC Leader Signature: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

\_\_\_\_\_ **YES**, the above agency has been an active participant in the Local Continuum of Care meetings in **2014**. We have had \_\_\_\_\_ meetings and they have attended \_\_\_\_\_ of the meetings. (75% of more).

\_\_\_\_\_ **NO**, the above agency has not been an active participant in the Local Continuum of Care meetings in **2014**. We have had \_\_\_\_\_ meetings and they have attended \_\_\_\_\_ of the meetings. (Less than 75%). At this time, they have not been a consistent active member.

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**THE DEADLINE FOR SUBMITTING APPLICATIONS IS December 1, 2014**

**Please read this entire page and then sign below**

The Applicant certifies that all information in this application, and all information furnished in support of this application, is given for the purpose of obtaining funding under Suffolk County Office of Community Development's ESG program is true and complete to the best of the Applicant's knowledge and belief.

I understand that providing false or incomplete information will disqualify my organization for consideration and/or represent a criminal offense in the Suffolk County Emergency Solutions Grant Program.

I understand that this is not an offer and that the terms and conditions of the Suffolk County Emergency Solutions Grant Program may be changed at any time by the U.S. Department of Housing and Urban Development (HUD) or by the Suffolk County Community Development Office. I further understand that notices by the Suffolk County Community Development Office may be made in such manner as the Suffolk County Community Development Office may determine, including solely by advertisements.

Please note that Suffolk County is not responsible to any party for the loss of funding or any other damages which may arise as a result of the applicant's failure to adhere to the terms of the Suffolk County Emergency Shelter/Solutions Grant Program Guidelines, as stated in this document.

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

Title: \_\_\_\_\_

\_\_\_\_\_  
Signature

Date: \_\_\_\_\_

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Please attach the following check list and requested documents to the application. The application **will not** be processed without the following documents.

**REQUIRED ATTACHMENTS TO INCLUDE WITH YOUR APPLICATION**

- Articles of Incorporation and By-Laws
- State and Federal Tax Exemption Determination Letters
- Current List of Board of Directors
- Board of Directors' Designation of Authorized Official
- Organizational Chart
- Resume of Program Administrator
- Resume of Fiscal Officer
- Copy of Most Recent Audited Financial Statements
- Copy of Deed for all properties or Lease Agreements
- Copy of most recent Property Tax Bill, if applicable
- Most recent letter of 501c3 non-profit status determination
- Certificate of Participation in local Continuum of Care (attached)
- Homeless Management Information System (HMIS) Participation – Need certification from The Long Island Coalition for the Homeless whether grantee is currently participating, the date when participation will commence or grantee is exempt from participating in HMIS by HUD. *All Grantees of the Emergency Solutions Grant are required by the U.S. Department of Housing and Urban Development to enter all homeless client demographic information into the Homeless Management Information System (HMIS); unless the program's primary purpose is to serve victims of Domestic Violence.*