

## TABLE 1: DELIVERY OF SUPPORTIVE SERVICES

ESG Subrecipient: \_\_\_\_\_

Check (3) the services provided to homeless clients and whether the service is a part of your agency's in-house program or provided through linkages with other agencies or service providers in the community. All subrecipients must complete this form and include either 1) brochures or pamphlets describing your in-house program, or 2) a statement on agency letterhead from the Executive Director or Board President. All new subrecipients must submit letters from other agencies or service providers stating that the service is provided to homeless clients residing in your agency's emergency shelter or transitional housing facilities. Services should be appropriate and adequate for the homeless populations served by your agency. At a minimum, need assessment, case management, and information and referral must be provided.

- Check here if funded previously fiscal year and **no changes** are required in services provided.
- Check here if funded previous fiscal year and you are updating services provided. (Indicate updated information on the form below and attach letters to support new linkages, if any)
- Check here if not funded previous fiscal (attach letters to support linkages for services provided by other agencies or service providers).

SUPPORTIVE SERVICE	SERVICE PROVIDED	SERVICE IS PROVIDED AS A PART OF YOUR IN HOUSE PROGRAM	SERVICE IS PROVIDED THROUGH LINKAGES WITH OTHERS
Needs Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Case Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information and Referral	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substance Abuse Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Individual / Family Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vocational Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Placement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employment Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adult Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Life Skills Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budgeting / Financial Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parenting Workshops / Classes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Assistance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Children's Program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Day Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Support Group(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Food	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clothing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Housing Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental Health Care / Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## TABLE 2: METHODS OF INVOLVING HOMELESS PERSONS IN OPERATIONS AND MAINTENANCE

ESG Subrecipient: \_\_\_\_\_

Check (3) all of the following methods of involving homeless persons in the operations and maintenance of your facility, and in the provision of services that you are currently using or will be using in fiscal year 2004:

- Suggestion Box
- Chore Lists for Residents
- Regularly Scheduled House Meetings
- Clients Assist with Children's Program
- Clients Assist with Parenting Classes
- Clients Assist with Vocational Training
- Clients or Former Clients Serve on Board
- Exit Interview
- Other (Be Specific) \_\_\_\_\_

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### TABLE 3: SOURCES OF FUNDING

ESG Subrecipient: \_\_\_\_\_

What is your organization's operating budget for the emergency shelter, winter shelter or transitional housing program for next fiscal year? \$ \_\_\_\_\_

How much financial support will you receive from local government? \$ \_\_\_\_\_

Using \$5.00 per hour, what is the value of volunteers in your ESG funded program?

Number of volunteer hours: \_\_\_\_\_ x \$5.00 = \$ \_\_\_\_\_

What is the dollar value of donated goods and in-kind services to your ESG funded program? \$ \_\_\_\_\_

List the services that are not currently provided by your organization that would be provided if funds were available: \_\_\_\_\_

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What is a reasonable estimate of the additional funds necessary for your organization to offer the services identified above? \$ \_\_\_\_\_

# Fiscal Year \_\_\_\_\_ Budget Emergency Shelter Grant

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

Grant # \_\_\_\_\_

Use back of form or attach pages if needed

CATEGORY	ESG \$\$	MATCH \$\$	MATCH SOURCE
OPERATIONS (List Project Activities)			
-MAINTENANCE			
-STAFF (10% of Award) See Instructions			
-EQUIPMENT/FURNISHINGS Must maintain inventory and appropriate procurement procedures must be followed (List All Planned Purchases)			
ADMINISTRATION See Instructions			
<b>TOTAL</b>			

## **Fiscal Year Budget Instructions Emergency Shelter Grant**

1. Agency-Enter the name of the subrecipient organization/program locality and site.
2. Grant Number- Enter the ESG grant number found on the grant agreement contract.
3. Operations Category eligible expenses include payment for shelter maintenance, operation, rent, repairs, security, fuel/ utilities, food and furnishings. *Note that furnishings include furnishings for the shelter only, this does not include items such as computer equipment including, laptops or office furniture.* Not more than 10% of the grant amount can be used for cost of staff.

Ineligible Operating or maintenance costs include:

- Recruitment or on-going training of staff
- Depreciation
- Cost associated with the organization rather than the supportive housing project (advertisement, pamphlets about organization, surveys, etc.)
- Staff training, entertainment, conferences, or retreats
- Public relations or fund raising
- Bad debts/late fees
- Mortgage payments
- Staff cost that exceeds 10% of grant amount which includes fringe benefits

4. Administration (local Government subrecipients only) eligible expenses include staff to operate the program, preparation of progress reports, audits, and monitoring of recipients.

Ineligible Administrative costs include:

- Preparation of Consolidated Plan and other application submissions
- Conferences or training in professional fields such as accounting and financial management
- Salary of organization's executive director (except to the extent involved in carrying out eligible administrative functions)

# IDIS/HUD Reporting Form

FOR OHCD USE ONLY	
IDIS Number: _____	
Emergency Shelter _____ Transitional Housing _____ Drop-In Shelter _____	
Initial Report _____ Year End Report _____	
_____ Signature of OHCD Staff Person Verifying Form	_____ Date

**ALL REQUESTED INFORMATION MUST BE PROVIDED BEFORE EMERGENCY SHELTER GRANT FUNDS ARE DISBURSED**

Incomplete or incorrect forms will be returned; no Emergency Shelter Grant (ESG) funds will be disbursed until all requested information is provided. All answers should reflect numbers and percentages only for those activities funded totally or in part with ESG funds.

**Begin Here Complete all four pages**

Agency: \_\_\_\_\_ Grant #: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Confidential location: Yes \_\_\_\_\_ No \_\_\_\_\_

**ESG SERVICES YOUR FACILITY PROVIDES**

Indicate Program(s) and Service(s) with an X

- |   |   |
|---|---|
| <input type="checkbox"/> Emergency Shelter            | <input type="checkbox"/> Transitional Housing           |
| <input type="checkbox"/> Vouchers for Shelters        | <input type="checkbox"/> Outreach                       |
| <input type="checkbox"/> Drop-In Center (Day Shelter) | <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 _____                  |   |

If any of the following questions do not apply to your ESG program, enter zero (0).

**RESIDENTIAL SERVICES**

Provide the average number of clients sheltered on an annual basis:

Daily average: Adults: \_\_\_\_\_ Children: \_\_\_\_\_  
 Yearly average: \_\_\_\_\_ (Both Adults and Children)

**NON-RESIDENTIAL SERVICES**

Provide the average number of clients receiving services, but not shelter, on an annual basis:

Daily average: \_\_\_\_\_ (Both Adults and Children)

**RESIDENTIAL SERVICES**

Provide the approximate percentages on an annual basis of clients receiving shelter:

Unaccompanied Adults (age 18 and over) Male: \_\_\_\_\_% Female: \_\_\_\_\_%  
 Unaccompanied Children (under age 18) Male: \_\_\_\_\_% Female: \_\_\_\_\_%

Families with Children Headed By:  
 Single Parent (age 18 and over) Male: \_\_\_\_\_% Female: \_\_\_\_\_%  
 Youth (Single Parent under 18) \_\_\_\_\_% (Male and Female)  
 Two Parents (age 18 and over) \_\_\_\_\_%  
 Two Parents (under age 18) \_\_\_\_\_%  
 Families with no Children \_\_\_\_\_%

Provide the approximate annual percentages on a daily basis of the clients receiving shelter:

Battered Spouse:	_____	%
Runaway/Throwaway Youth (under age 18):	_____	%
Chronically Mentally Ill:	_____	%
Developmentally Disabled:	_____	%
HIV/AIDS:	_____	%
Alcohol Dependent Individuals:	_____	%
Drug Dependent Individuals:	_____	%
Elderly (age 65 and older):	_____	%
Veterans:	_____	%
Physically Disabled:	_____	%
Other:	_____	%

Provide the number of persons housed on an annual basis in each type of shelter:

Barracks:	_____
Group/Large House:	_____
Scattered Site Apartment:	_____
Single Family Detached House:	_____
Mobile Home/ Trailer:	_____
Hotel/Motel:	_____
Other:	_____
Total of all types above:	_____

## **FUNDING SOURCES**

Provide the amount of funding your organization receives from the following sources on an annual basis:

Emergency Shelter Grant:	\$ _____
Other Federal Sources: ( include	\$ _____
Community Development Block Grant (CDBG)	
HOME Investment Partnership Program (HOME)	
Or Housing Opportunities for Persons with AIDS (HOPWA)	
Local Government:	\$ _____
Private Sources:	\$ _____
Fees:	\$ _____
Other:	\$ _____

**RACIAL /ETHNIC CHARACTERISTICS**

Average number of persons served yearly: \_\_\_\_\_

	<i>Persons</i>
White	_____
Black/African American	_____
Asian	_____
American Indian/Alaska Native	_____
American Indian/Alaska Native & White	_____
Asian & White	_____
Black/African American & White	_____
American Indian/Alaska Native & Black/African American	_____
Other Multi-Racial	_____

	<i>Number of Households</i>
Hispanic Head of Households	_____
Non-Hispanic Head of Households	_____

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Signature of Person Completing Form

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Signature of Authorized Representative

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Date

Be sure to copy this report and retain a blank copy for your files, a year-end report will be due at Close Out.

Check One: First Report \_\_\_\_\_ Year End Report \_\_\_\_\_

**GRANT AGREEMENT EMERGENCY SHELTER GRANT (ESG)**  
**Contract # \_\_\_\_\_**

This Grant Agreement is made by and between the Prince William County Office of Housing and Community Development on behalf of Prince William County and the Subrecipient, \_\_\_\_\_.

The Grant, which is the subject of this Agreement, is authorized under the Emergency Shelter Grant (ESG) and is funded through an allocation from the U.S. Department of Housing and Urban Development (HUD). The Grant is subject to the terms, guidelines and regulations set forth in the Prince William County Emergency Shelter Grant Operating Manual and HUD's regulations at 24 CFR Part 575, as amended, which are incorporated by reference as part of this Agreement.

Also incorporated as part of this Agreement are the Emergency Shelter Grant (ESG) Application, the Certifications and Assurances form, the Board Resolutions, and all other required organizational documents as appropriate.

In reliance upon the Emergency Shelter Grant (ESG) Application and associated documents, the Office of Housing and Community Development, upon execution of the GRANT AGREEMENT, to provide the Subrecipient the amount of \$\_\_\_\_\_ for operations and support services to undertake the project activities approved and set forth herewith.

The Subrecipient agrees that funds for operations and supportive services will be matched with an equal amount of funds from sources, which may include SHARE Shelter Support Grant. The Office of Housing and Community Development must approve all match funds.

The Subrecipient further agrees to monitor, oversee and report on the use of funds under this Agreement.

Project Description, Conditions and Additional Assurances

I. Project Description (Approved Activities)

Emergency Shelter Grant (ESG) funds will be restricted to activities between July 1, 2004 through June 30, 2005, specified in the budget submitted by the Subrecipient and approved by the Office of Housing and Community Development as required under Section III Conditions.

II. Execution of Grant Agreement

Signed, original Grant Agreements will be submitted to the Office of Housing and Community Development no later than \_\_\_\_\_.

### III. Fund Disbursement

ESG Subrecipients will request their grant award reimbursement by submitting the Quarterly Request for Disbursement Form with a budget which details itemized ESG and match expenditures and names the match source for operations, administration (excluding staff costs), staff costs, equipment, and/or furnishings. All ESG funds must be requested on the ESG Quarterly Request for Disbursement Form. No funds will be disbursed until all required reports are submitted to the Office of Housing and Community Development.

### III. Conditions

#### A. REPORTS

The Subrecipient will submit the following reports as indicated:

- Budget – A completed Emergency Shelter Grant (ESG) Budget Form will be submitted and approved prior to disbursement of any ESG funds to be used for operations and supportive services. This will include a description of activities to be funded by the Grant and Subrecipient Match.
- Quarterly Reports – Quarterly Reports will be submitted according to a schedule in keeping with the program year. Reports will be submitted by the October 15<sup>th</sup>, January 15<sup>th</sup>, April 15<sup>th</sup> and July 15<sup>th</sup>. All four Quarterly Reports must be filed even if funds are expended early.
- Closeout Report – A financial Closeout Report must be submitted showing all funds expended.
- Other Reports and Information – Any additional reports and information as required by the Office of Housing and Community Development.

#### B. ACCOUNTING RECORDS

The Subrecipient shall establish and maintain separate accounts within its existing accounting system or set up accounts independently. The Subrecipient shall record in its accounting system all Grant payments received by it pursuant to the Grant and all other match funds provided for, accruing to, or otherwise received on account of the Grant.

All costs, including paid services contributed by the Subrecipient or others, charged to the Grant shall be supported by properly executed payrolls, time records, invoices, contracts, or vouchers evidencing in proper detail the nature and propriety of the charges. All checks, payrolls, invoices, contract, vouchers, orders, or other accounting documents pertaining in whole, or in part, to the Subrecipient shall be clearly identified, readily accessible, and separate and distinct from all other such documents. Such documents shall reside at the offices of the Subrecipient.

C. MAINTAINANCE OF RECORDS

The Subrecipient shall maintain such records in such a manner as will be prescribed. Records shall be readily accessible to the Office of Housing and Community Development, HUD, appropriate State agencies, and the general public during the course of the project and shall remain intact and accessible for four years thereafter. The exception is if any litigation claim or audit is started before the execution of the four year period the records shall be retained until such action is resolved.

D. COST INCURRED PRIOR TO GRANT AGREEMENT EXECUTION

No costs incurred prior to the execution of the AGREEMENT shall be eligible for reimbursement with Grant funds, unless incurred costs are authorized in writing by the Office of Housing and Community Development.

E. CONTRACT SECURITY

The Subrecipient shall secure all materials and equipment purchased or paid for with Grant funds, through insurance coverage of the full value of the same, and maintains an inventory record of Grant purchased items.

Contracts between the Subrecipient and any subsequent or third parties for the undertaking of all or part of the activities for which the grant assistance is being provide to the Subrecipient shall include a provision that subsequent or third parties shall indemnify and hold harmless the County for claims or suits arising out of the subsequent of third parties' acts or omissions.

F. TERMINATION, SUSPENSION, CONDITIONS

If through any cause, the Subrecipient fails to comply with the terms, conditions or requirements of the contract document, the Office of Housing and Community may terminate or suspend this Agreement by giving written notice of the same and specifying the effective date of termination or suspension at least five (5) days prior to such action.

In the cast of contract violations by the Subrecipient, the Office of Housing and Community Development may request that all or some of the grant funds be returned even if the Subrecipient has expended the funds. The request will be made in writing. The Subrecipient agrees to return such funds as requested by the Office of Housing and Community Development within 15 days of receipt of the written request.

G. SUBSEQUENT CONTRACTS

The Subrecipient shall remain fully obligated under the provisions of the Grant Agreement notwithstanding its designation of any subsequent or third parties for the undertaking of all or part of the activities for which the grant assistance is being provided to the Subrecipient.

Any contractor or subcontractor which is not part the Subrecipient shall comply with all the lawful requirements of the Application necessary to insure that he Project for which assistance is being provided under this Agreement is carried out in accordance with the Subrecipient's Assurances and Certifications.

#### H. BUDGET REVISIONS/AMENDMENTS

The Subrecipient shall not obligate, encumber, spend or otherwise utilize ESG funds for any activity or purpose not included or not in conformance with the budget as apportioned and as submitted to the Office of Housing and Community Development unless:

- The Subrecipient has received explicit written approval from the Office of Housing and Community Development to undertake such actions, or
- Budget changes may be among approved project activities and among approved budget categories so long as the specific project activity has been approved, there is no change to the total grant amount, and the changes to the budget are documented.

#### V. Additional Assurances

- A. Subrecipients will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

No person -

- Who is an employee, agent, consultant, officer, or elected or appointed official of the Subrecipient; and who exercises or has exercised any functions or responsibilities with respect to assisted activities; or
  - Who is in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a personal or financial interest or benefit from the activity, or have an interest in any contract, subcontract, or agreement with respect thereto or the proceeds thereunder, either for himself or herself or for those with whom he or she has family or business ties, during his or her tenure, or for one year earlier.
- B. Subrecipient with give the Office of Housing and Community Development, HUD and the Inspector General through any authorized representatives access to and the right to examine all records, books, papers, or documents related to the grant.

- C. Subrecipient must provide homeless individuals and families assistance in obtaining:
- Appropriate supportive services, including permanent housing, medical health treatment, counseling, supervision, and other services essential for achieving independent living; and
  - Other Federal, State, local and private assistance available for such individuals.
- D. Subrecipient must also adopt and implement procedures designed to make available to interested persons information concerning the existence and location of services and facilities that are accessible to persons with a handicap.
- E. Grantee with comply with:
- The requirements of the Fair Housing Act 42 U.S.C. 3601-20 and implementing regulations at 24 CFR Part 100; Executive Order 11063 and implementing regulations at 24 CFR Part 107; and Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4) and implementing regulations issued at 24 CFR Part I, which provides that no person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Subrecipient receives Federal financial assistance and will immediately take any measures necessary to carry out this assurance.
  - The requirements that the Subrecipient make known that the use of the facilities and services is available to all on a nondiscriminatory basis. Where the procedures that a Subrecipient intends to use to make know the availability of such facilities and services are unlikely to reach persons of any particular race, color, religion, sex, age or national origin within their service area who may qualify for them, the Subrecipient must establish additional procedures that will ensure that these persons are made aware of the facilities and services.
  - The prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and implementing regulations at 24 CFR Part 146 and the prohibitions against discrimination against otherwise qualified individuals and handicaps under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and implementing regulations at 24 CFR Part 8.
  - The requirements of the National Affordable Housing Act (Pub. L. 101-625, November 28, 1990) contained in Section 832(e)(2)(c) that subrecipients 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 Grant Program and “that the address or

location of any family violence shelter project assisted” under the Emergency Shelter Grant Program “Will, except with written authorization of the person or persons responsible for the operation of such shelter, no be made public.”

- The requirement of the Housing and Community Development Act of 1992 that a formal process for terminating assistance to an individual or family be established, and that, to the maximum extent possible, homeless individuals and families must be involved in maintaining and operating facilities and in providing services for participants or these facilities.
- Section 3 of the Housing and Community Development Act of 1968, as amended, requiring that to the greatest extent feasible opportunities for training and employment be given to lower-income residents of the project area and contracts for work in connection with the project be awarded to eligible business concerns which are located in, or owned in substantial part by, persons residing in the area of the project.
- The requirements of Executive Orders 11625, 12432 and 12138. Consistent with HUD’s responsibilities under these Orders, the Subrecipient must make efforts to encourage the use of minority and women’s business enterprises in connection with activities funded under this part.
- Subrecipient will comply with the regulations, policies, guidelines and requirements of OMB Circular No. A-102, Revised, or A-110 and A0122, and OMB Circular A-87 as they relate to the project, acceptance, and use of Federal funds under this Grant; and , as applicable, all State laws and administrative requirements which may supersede A-102 and A-87 (by virtue of being more stringent).

The financial management system used by local government must provide for audits in accordance with 24 CFR Part 44. A private nonprofit organization is required to submit an annual audit covering the period of the Grant Agreement 60 days after the annual audit is completed.

- The provisions of 24 CFR Part 24 relating to the employment, engagement of services, awarding contracts, or funding of any contractors or subcontractors during any period of debarment, suspension, or placement in ineligibility status.
- The flood insurance purchase requirements of Section 102 (a) of the Flood Disaster Protection Act of 1973, Pub. L. 94-234, 87 Stat. 975, approved December 31, 1973, if rehabilitation activities are included in the grant, Section 103 (a) required, on and after March 2, 1974, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any

area, that has been identified by the Director of the Federal Emergency Management Agency as an area of having special flood insurance.

- The provisions of 24 CFR Part 24, subpart F which requires Subrecipients to maintain a drug-free workplace.
- All other Federal requirements under the provisions of 24 CFR Part 576.

F. If requested by the Office of Housing and Community Development:

- Subrecipient agrees to provide information to the Office of Housing and Community Development who will be responsible to conduct Environmental Reviews under the National Environmental Policy Act (NEPA) of 1969 and other provisions of Federal law as specified at 24 CFR 58 and 58.5.

The GRANT AGREEMENT is hereby executed by the parties on the date set forth below with their respective signatures as follows:

PRINCE WILLIAM COUNTY  
OFFICE OF HOUSING AND COMMUNITY DEVELOPMENT

By: \_\_\_\_\_  
Signature  
\_\_\_\_\_  
Julián Bermudez, Director  
Name & Title  
\_\_\_\_\_  
Date

(NAME OF ORGANIZATION)

By: \_\_\_\_\_  
Signature  
\_\_\_\_\_  
Name & Title  
\_\_\_\_\_  
Date