

APPLICATION FOR FUNDING

**EMERGENCY SHELTER GRANTS PROGRAM
FISCAL YEAR 2009-2010
ROUND 24**

**N. C. Department of Health and Human Services
OFFICE OF ECONOMIC OPPORTUNITY
2013 Mail Service Center
Raleigh, North Carolina 27699-2013
Telephone: (919) 715-5850
Fax: (919) 715-6437
OEO Website: <http://www.ncdhhs.gov/oeo/>**

Submission Deadline: Monday, June 15, 2009

NORTH CAROLINA EMERGENCY SHELTER GRANTS PROGRAM

INTRODUCTION

These application guidelines have been prepared to assist applicants in applying for Fiscal Year 2009-2010 Emergency Shelter Grants Program (ESG) funds. Please read these guidelines carefully before completing the attached application form. Outlined below is information on specific components and requirements of the application and the ESG Program.

A. Application Procedure

A separate, original application for **each** facility for which funding is sought must be postmarked no later than Monday, **June 15, 2009** and mailed to the Office of Economic Opportunity at the following mailing address.

**Office of Economic Opportunity
2013 Mail Service Center
Raleigh, North Carolina 27699-2013
ATTN: ESG PROGRAM**

Applications postmarked after this date, incomplete applications and/or applications which do not include all supporting documentation will not be accepted, will be returned to sender and the applicant organization will be determined ineligible for ESG funding for the FY 2009-2010 program year. **No faxed or emailed applications will be accepted.**

Completed applications may also be hand-delivered. The Office of Economic Opportunity is located in the NC Medical Society Building, 222 North Person Street, Raleigh, North Carolina. **All hand-delivered applications must be received in the Office of Economic Opportunity no later than 5:00 p.m. on Monday, June 15, 2009.** When hand-delivering an application, applicants should ask to see a staff member of the Office of Economic Opportunity. Applications left with the receptionist of the NC Medical Society Building and not delivered to the Office of Economic Opportunity on the deadline date will be returned to the applicant without review.

B. Purpose

The purpose of the ESG Program is to help improve the quality of existing emergency shelters, to help meet the costs of operating emergency shelters and to provide certain essential social services to homeless persons so that they have access not only to safe and sanitary shelter, but also to the supportive services and other kinds of assistance they need to improve their situations. The program is also intended to restrict the increase of homelessness through the provision of preventive programs and activities. **For the purposes of this program, the term “shelter” excludes substance abuse rehabilitation centers. Licensed substance abuse rehabilitation centers currently funded or funded in FY 2009-2010 may be ineligible for the ESG Program in subsequent years pending further guidance.**

C. Program Eligible Population

Federal program regulations require that ESG funding be used to serve individuals and families that meet the definition of homeless used under McKinney-Vento Act homeless assistance programs, such as ESG. For the purposes of the ESG Program “homeless” means:

- (a) an individual or family which lacks a fixed, regular, and adequate nighttime residence; or
- (b) an individual or family which has a primary nighttime residence that is:
 - (1) a supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for persons with mental illness);
 - (2) an institution that provides a temporary residence for individuals intended to be institutionalized; or
 - (3) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.
 - (4) The term does not include any individual imprisoned or otherwise detained pursuant to an Act of Congress or a State law.

Youth who are considered wards of the State (i.e., the legal responsibility of a state agency, such as the Division of Social Services) are not “homeless” and, therefore, are not eligible to receive assistance under the McKinney-Vento Act homeless assistance programs.

Grantee organizations must maintain proper written documentation that each client served with ESG funds meets this definition. Please see Appendix A: “Homeless Eligibility Certification Guide” for guidance regarding the written documentation required to verify that a client is “homeless.”

D. Definitions

Administrative Staff: Administrative staff includes only those persons directly responsible for the operation and management of the homeless facility for which funding is sought. Such staff could include the applicant organization executive director, the homeless facility director and weekend or night managers of the homeless facility.

Carolina Homeless Information Network (CHIN): North Carolina’s statewide homeless management information system.

Continuum of Care: A community plan to organize and deliver housing and services to meet the specific needs of people who are homeless as they move to stable housing and maximum self-sufficiency. It includes action steps to end homelessness and prevent a return to homelessness. The fundamental components of a comprehensive Continuum of Care (CoC) system are:

- Outreach, intake and assessment to (1) identify an individual's or family's service and housing needs, and (2) link them to appropriate housing and/or service resource; Emergency shelter and safe, decent alternatives to the streets;
- Transitional housing with supportive services to help people develop the skills necessary for permanent housing; and,
- Permanent housing and permanent supportive housing.

Cities, counties, a group of counties or a state may form a CoC and can apply to the U.S. Department of Housing and Urban Development (HUD) for homeless assistance funding.

Emergency Shelter: A facility that provides temporary shelter and services for homeless persons in general or for specific subpopulations of the homeless. Emergency shelters may operate 24 hours per day, night only and/or day only.

Essential Services: Services concerned with employment, health, drug abuse, and education may include:

- assistance in obtaining permanent housing
- medical and psychological counseling and supervision
- employment and nutritional counseling
- substance abuse treatment and counseling
- assistance in obtaining other federal, state and local assistance
- child care
- client transportation (bus tickets for clients/residents, insurance, gas, maintenance of vehicle owned by applicant organization and used to transport clients)

Note: *If an organization-owned van is used for both services and administrative purposes the cost of insurance, gas, and maintenance must be prorated between Services and Operations.*

- job placement and job training
- salary and fringe benefit costs of those staff members who provide the above services.

NOTE: *Staff members whose salaries are paid, in whole or in part, with ESG funds must maintain time sheets delineating ESG hours worked during each pay period.*

Ineligible Essential Services costs include:

- Salary of case management supervisor when not working directly on participant issues
- Advocacy, planning and organizational capacity building
- Staff recruitment and/or training
- Transportation costs not directly associated with service delivery

Essential services may be provided only if the service is a new service, or if there was a quantifiable increase in the level of a service above that which was provided with local funds during the 12 calendar months immediately preceding receipt of ESG Program funds. **Not more than 30 percent of the total grant amount may be used for these services.**

NOTE: *Not more than 30% of total grant amount may be spent on Services. If services such as the ones listed above are being provided by an organization, agency or private licensed professionals other than the applicant, any costs for such services charged to ESG must be supported by a formal contract between the applicant and entity supplying the service.*

Homeless Management Information System (HMIS): A computer system network which collects data regarding homeless persons served by an organization and/or organizations within a Continuum of Care (COC). **The Department of Housing and Urban Development requires all recipients of 2009-2010 ESG funds to follow its standards for participation, data and reporting under a local HMIS that were finalized in a July 20, Federal Register notice (69 FR 45888).** The requirement to participate in an HMIS applies to homeless providers receiving ESG funds ONLY if that provider is located in a jurisdiction covered by a COC with an HMIS. Domestic violence providers receiving ESG funds are **not** required to participate in an HMIS system. (See October 19, 2004, *Federal Register* notice (69 FR 61517)). A list of all COCs in the state may be found in Appendix C. If your organization is located in one of these COCs, call your CoC area contact person to determine if your CoC has a HMIS system.

NOTE: *FY 2009-2010 ESG grantees may spend up to \$1,000 under Operations for HMIS subscriber fees during the program year. A copy of any HMIS subscriber contract or agreement must be on file with the Office of Economic Opportunity prior to funds being drawn for this purpose. ESG funds may not be used for HMIS planning or development costs.*

Homeless Prevention: Activities or programs designed to prevent the incidence of homelessness as listed below:

- short-term subsidies to defray rent and utility arrearages for families who have received eviction or utility termination notices;
- security deposits or first month's rent to permit a homeless family to move into its own apartment;
- mediation programs for landlord tenant disputes;
- legal services programs for the representation of indigent families in eviction proceedings;
- payments to prevent foreclosure on a home;
- other programs and activities designed to prevent the incidence of homelessness.

When using ESGP funds to assist families that have received eviction notices or notices of termination of utility services, the following conditions **must be met:**

- the inability of the families to make the required payments must be the result of a sudden loss in income;

- the assistance must be necessary to avoid eviction of the family or termination of services to the family;
- there must be reasonable prospect that the family will be able to resume payments within a reasonable period of time;
- the assistance must not supplant funding for pre-existing homeless prevention activities from any other source.

Ineligible Homeless Prevention costs include:

- Housing/services to homeless persons
- Direct payments to individuals
- Long-term assistance beyond several months
- Application for federal funds or unprogrammed funds
- HMIS planning and/or development costs

NOTE: *Not more than 30% of total grant amount may be spent on Homeless Prevention.*

If funds are requested for the homeless prevention activities described above, the applicant organization must provide or refer clients to services designed to preclude the client's continued dependence on emergency assistance funds. These services may include individual or group budgeting, employment and/or educational counseling. Such services may be provided by the applicant organization or the client may be referred by the applicant organization to other agencies in the area providing these services.

Obligated: Orders which have been placed, contracts which have been awarded, services which have been received or similar transactions that require payment from the grant amount.

Operations: Eligible costs associated with the overall operation and general maintenance of the shelter including, but not limited to:

- **Administrative Staff Costs** (salaries and fringe benefits) are limited to 10% of total ESGP grant amount. Administrative staff includes only those persons directly responsible for the operation and management of the homeless facility for which funding is sought. Such staff could include the applicant organization executive director, the homeless facility director and weekend or night managers of the homeless facility. ESG funding may not be used to pay the costs of staff that provide support services such as cooks, janitors, secretaries, bookkeepers, administrative assistants, etc.

NOTE: *Staff members whose salaries are paid, in whole or in part, with ESG funds must maintain time sheets delineating ESG hours **and non-ESG hours** worked during each pay period.*

- **Communications:** telephone, postage and printing
- **Equipment:** Equipment/furniture items with a unit value of \$500 or more. Adequate justification for equipment items must be provided by the grantee.
- **Homeless Management Information Systems (HMIS):** Up to \$1,000 under Operations may be used only for grantee subscription fees to a HMIS during FY 2009-2010. A copy of a

properly executed and signed HMIS agreement which details services to be received and payment charged must be on file in the grantee's files and in the files of the Office of Economic Opportunity prior to the grantee paying or requesting ESG reimbursement for HMIS costs. ESG funds may **not** be used to fund HMIS planning and/or development costs. Enter HMIS subscription costs under "Contractual."

- **Space Cost:** Rent, utilities, routine maintenance; *minor* building repairs; insurance on facility building and contents; security systems. **NOTE:** *If ESG funds are used to pay rent, the applicant organization must have a current lease agreement on file.*
- **Travel:** Insurance, gas, maintenance on organization-owned vehicle used by *administrative* staff to conduct official business related directly to the homeless facility; reimbursement of such staff using personal vehicles for these purposes. (indicate amount of reimbursement per mile and total miles).
Note: *If an organization-owned van is used for both administrative and services purposes the cost of insurance, gas, and maintenance must be prorated between Operations and Services.*
- **Supplies and Materials:** Food costs (for facility residents); paper products; office supplies; equipment/furnishings with unit value of *less than* \$500.
- **Contractual:** Contractual services under Operations would include laundry services, cleaning services, security system monitoring, pest control, bookkeeping, lawn care and HMIS subscription costs. Contractual costs charged to the ESG Program must be supported by contracts between the vendor and the ESG grantee organization.
NOTE: *OMB Circular A-133 prohibits federal financial participation in audit costs for entities that do not expend \$500,000 or more in federal funds for that fiscal year.*

Ineligible Operation Costs Include:

- Recruitment or on-going staff training
- Depreciation
- Costs associated with the organization rather than the homeless facility funded (advertisements, pamphlets about the organization, survey, etc.)
- Staff training, entertainment, conferences or retreats
- Public relations or fund raising
- Bad debts
- Late fees or penalties
- Mortgage payments

Transitional Facility: A facility that provides shelter and services for homeless individuals and families for six months to two years in an environment of security and support designed to help residents achieve self-sufficiency.

Safe Haven: A facility that provides shelter and services to hard-to-reach homeless persons with severe mental illness who are on the streets and have been unable or unwilling to participate in supportive services.

Services Staff: Staff members who provide an essential service to the residents/clients of the homeless facility for which ESG funding is sought. Such staff would include facility case managers, social workers and/or counselors. If psychological or counseling services are provided to facility residents/clients through a contract between the grantee and

licensed professionals, the cost of such a contract is an eligible expense and should be budgeted as a Contractual expense under the Services component.

NOTE: *Staff members whose salaries are paid, in whole or in part, with ESG funds must maintain time sheets delineating ESG and non-ESG hours worked during each pay period.*

E. General Information

Assistance to the Homeless: Homeless individuals and families must be given assistance in obtaining:

- appropriate supportive services including permanent housing, medical health treatment, mental health treatment, counseling, supervision, and other services essential for achieving independent living; and
- other federal, state, local and private assistance available for such individuals.

Food: When food is served to people who use the sleeping accommodations of an emergency shelter, the food is considered an operational cost. When food is served to homeless people who do not reside in the shelter, the food is considered an essential service. **NOTE:** *If the grantee organization serves food to both residents of the homeless facility and to homeless persons not residing in the homeless facility the costs of the food should be prorated and charged accordingly to Operations and Services.*

Matching Funds: Each recipient is required to match the ESG funding provided with an equal amount of funds from other sources. These funds must be provided after the date of the grant award to the recipient. Funds used to match a previous ESGP may *not* be used to match a subsequent grant award. Compliance with this matching requirement may be the provision of supplemental funds or voluntary efforts of the recipient. In calculating the amount of matching funds, the following may be included: the value of any donated material or building; the value of any lease on a building, any salary paid to the staff of the recipient in carrying out the emergency shelter program; the time and services contributed by volunteers to carry out the emergency shelter program (determined at the rate of \$5.00 per hour). The recipient will determine the value of any donated material or building or any lease, using any method reasonably calculated to establish a fair market value.

Non-Discrimination and Equal Opportunity: Recipients must allow use of their facilities and services by all on a non-discriminatory basis. **The agency's policy of non-discrimination and equal opportunity must be displayed in a common area of the shelter (the Termination of Participation policy and grievance procedures must also be displaced in a common area of the shelter).**

Prepayments: Are not allowed for expenses for which prepayments are not normally made in general business practice.

Rapid Obligation/Expenditure of Funds: Emergency Shelter Grants Program funds must be expended no later than June 30, 2010. Any grant amounts that are not obligated

within the required period will be recaptured from the recipient and made available to other eligible recipients.

Use as an Emergency Shelter: Any building for which emergency shelter grant amounts are used for eligible activities described in 576.53 must be maintained as a shelter for the homeless for the period during which such assistance is provided. A substitute site or shelter may be used during this period, so long as the same general population is served. The grantee is obligated to inform the Office of Economic Opportunity immediately if there is a change in the operation, location, and/or service population of any homeless facility during the grant period for which ESG funding is received.

Use of Funds by Primarily Religious Organizations: Emergency Shelter Grants Program funds will be provided to a primarily religious organization *only* if the organization agrees to provide all eligible activities under the program in a manner that is free from religious influences and in accordance with the requirements of 24 CFR Part 576.23 and the Assurances Section of this application. For more specific information see page 5 of the application.

**2009-2010 EMERGENCY SHELTER GRANTS PROGRAM
APPLICATION INSTRUCTIONS**

PLEASE READ THESE INSTRUCTIONS CAREFULLY PRIOR TO COMPLETING THE APPLICATION MATERIALS. Questions regarding allowable costs or budget completion should be directed to Michael A. Leach, Homeless Programs Coordinator, Office of Economic Opportunity, 919-715-5850.

APPLICATIONS MUST BE KEYED USING THE ON-LINE FORMS LOCATED AT <http://www.ncdhhs.gov/oeo/forms.htm>

The formal FY 2009-2010 ESG application begins on page 1 and ends on page 28. All supporting documentation requested within the application **MUST** be attached to the completed application when mailed to the Office of Economic Opportunity. *Applicants should keep Appendix A (Homeless Eligibility Certification Guide), Appendix B (Sample Verification of Homelessness Form, Appendix C (Continuums of Care in North Carolina)) and pages ii – vii of this application package for reference during the grant period.*

ONLY ONE COMPLETED APPLICATION WITH SUPPORTING DOCUMENTATION SHOULD BE SUBMITTED. APPLICANTS SHOULD KEEP A COPY OF THE COMPLETED APPLICATION FOR THEIR RECORDS. Please use binder clips or large paper clips to keep your complete application together. Do not staple any portion of your application package.

Submission Deadline

The deadline for submission of completed applications is **Monday, June 15, 2009**. All mailed applications must be postmarked no later than **5:00 p.m. on Monday, June 15, 2009**. Mailed applications must be sent to the address below:

**OFFICE OF ECONOMIC OPPORTUNITY
2013 Mail Service Center
RALEIGH, NORTH CAROLINA 27699-2013
ATTN: ESG PROGRAM**

Completed applications may also be hand-delivered. The Office of Economic Opportunity is located in the NC Medical Society Building, 222 North Person Street, Raleigh, North Carolina. 27601. All hand-delivered applications must be received in the Office of Economic Opportunity no later than 5:00 p.m. on Monday, June 15, 2009. When hand-delivering an application, applicants should ask to see a staff member of the Office of Economic Opportunity. Applications left with the receptionist of the NC Medical Society Building and not delivered to the Office of Economic Opportunity on the deadline date will be returned to the applicant without review.

**No exceptions to the submission deadline will be granted.
Faxed or emailed applications will not be accepted.**

SECTION I – IDENTIFICATION (Page 1)

Complete each item. Authorized Contact Person: Indicate the person who can be reached during regular business hours, if needed, to answer questions regarding the shelter.

SECTION II – CERTIFICATION (Page 1)

The chairperson of the applicant's board of directors should sign this section. If someone signs the form other than the chairperson, attach a resolution from the governing board of the applicant organization authorizing the signatory.

SECTION III - ASSURANCES & CERTIFICATIONS (Pages 2-8)

1. **General Assurances & Certifications** (Pages 2-4). The applicant's board chairperson must sign this form.
2. **Assurances Regarding the Conduct of Religious Activities and Instruction** (Page 5) : All applicant organizations must complete this form. The applicant's board chairperson must sign this form.
3. **Termination of Participation and Grievance Procedures:** (Page 6): The certification should be completed and signed by the governing board chairperson. **Please note that a copy of your agency's termination of participation and grievance procedures must be included with the completed application behind the signed Termination of Participation and Grievance Procedures Certification. Both items should be displayed in a common area of the shelter.**
4. **Statistical Reporting Requirements** (Page 7-8): The governing board chairperson should sign this form.

NOTE: *If someone other than the chairperson signs the assurances and certifications listed above, attach a resolution from the governing board of the applicant organization authorizing the signatory.*

SECTION IV - COMMUNITY NEEDS AND RESOURCES (Pages 9-12)

Thoroughly answer each question. Attach additional sheets if necessary.

1. Indicate the approximate number of homeless persons in your service area. Indicate the source(s) used for this information.
2. Fully describe all the homeless persons served by your facility. Indicate any changes during the past two years.
3. List, as you see it, the needs of homeless people in your service area that are not adequately being met.
4. Does your organization operate in the service area of a recognized Continuum of Care listed in Appendix C?
5. List all major facilities in your community that serve the homeless.

SECTION V - SERVICE PLAN (Page 13)

1. Indicate legal name of applicant.
2. Indicate full name of shelter.
3. Indicate the total number of unduplicated persons you expect to serve during the grant period.
4. Complete only the sections for which ESG funds will be utilized. Under A indicate the TOTAL number of homeless families and/or individuals expected to be provided overnight lodging or day services during the grant period. Under B indicate the number of homeless individuals and/or families to be provided each essential service listed. Under C, indicate the total number of homeless individuals and/or families to be provided homeless prevention activities and then check those homeless prevention activities to be provided by the applicant organization.

Implementation Schedule: Indicate the number of people you expect to provide services to during each quarter of the grant period. Complete this information only for the applicable objective (Operations, Services, Homeless Prevention).

NOTE: If Homeless Prevention activities are to be provided, attach a description of the services to be offered clients receiving homeless prevention funds behind the Service Plan. These services should be designed to preclude the client's continued dependence on emergency assistance funds and may include individual or group budgeting, employment and/or educational counseling. Such services may be provided by the applicant organization or the client may be referred by the applicant organization to other agencies in the area that provide these services.

**SECTION VI – CONTRACTOR BUDGET INFORMATION – OEO FORM 225
(Pages 14-14f)**

ROUND ALL NUMBERS TO THE NEAREST DOLLAR IN THE BUDGET

IDENTIFICATION

Complete as indicated. Project Period: 7/1/2009 to 6/30/2010. A Contract No. will be assigned by the Office of Economic Opportunity at the **time a formal grant agreement is prepared.**

BUDGET CATEGORIES

Refer to pages iii – viii of this application package for eligible and ineligible costs under Operations, Essential Services and Homeless Prevention.

Columns 2 - 5 - Include only the amounts requested for ESG funds.

Column 6 - Include only enough funds to match the amount of ESG funds requested.

SALARIES AND WAGES

Enter number and title of positions for which funds are requested, if any. Enter the amount requested to support administrative staff in column 17 (Operations). Remember that funds requested to support administrative cost of operations **MAY NOT EXCEED** 10% of the total

ESG allocation. Enter the amount of funds requested for salaries and fringe benefits of staff members who deliver direct services to clients (such as staff case managers, social workers or counselors) in column 18 (Services). Fringe benefits may not be requested for employees whose salaries are not supported with ESG funds. Fringe benefits may only be requested for that part of the employee's salary to be supported with ESG funds. The cost of contracted psychological or counseling services should be entered under the "Contractual" cost category as a Services expense.

BUDGET SUPPORT DATA

Enter funds requested for each applicable cost category (Total, Operations, Services, Prevention, Match). Remember that funds requested for **Services MAY NOT EXCEED** 30% of the total grant amount and that funds requested for **Homeless Prevention MAY NOT EXCEED** 30% of the total grant amount. Funds budgeted for administrative salaries **MAY NOT EXCEED** 10% of the total ESG allocation. Funds budgeted for Operations, Essential Services and Homeless Prevention must be expended no later than June 30, 2010. Grantees are not obligated to budget their allocations in all three cost categories. Funds may be budgeted in all three categories, in Operations and Services or in Operations and Homeless Prevention. Funds may **NOT** be budgeted in only Services, in only Homeless Prevention, or in only Services and Homeless Prevention.

SECTION VII – SOURCE OF MATCHING FUNDS (Page 15)

1. List the sources and amounts of matching funds to be used with the FY 2009-2010ESG funds.
2. Include only enough matching funds to correspond with the total allocation of ESG funds. Matching funds are not required to be in the same budget category as requested ESG funds.
3. Attach supporting evidence of matching funds as described on page 15.

SECTION VIII- INVENTORY OF ADDITIONAL FUNDING (Page 16)

Enter start and end dates of the applicant organization's fiscal year. *All* other additional funding expected to be received and used for the operation of the facility for which the applicant organization is requesting ESG funding during the program year (July 1, 2009 – June 30, 2010,) should be listed. Attach additional sheet(s) if necessary.

SECTION IX – SUPPORTING DOCUMENTATION (Page 17)

Applicants **MUST** supply the following information with their completed application form:

- a. A copy of any application or intake form used to admit a client served by the homeless facility for which funding is sought.
- b. A list of staff with position titles for the homeless facility for which ESG is sought.

- c. A copy of the form applicant will use to verify the homelessness of clients they will serve in FY 2009-2010 (July 1, 2009 – June 30, 2010). If the verification of homelessness form included in Appendix B of this application package will be used by the applicant organization during the FY 2009-2010 program year, a copy of the form should be attached to the application. If the form in Appendix B is not selected for use by the applicant organization, the applicant organization should attach a copy of the verification of homelessness form they intend to use during the FY 2009-2010 program year. **NOTE:** *The Homeless Eligibility Certification Guide included in this application package as Appendix A provides specific information regarding the types of supporting documentation **required** to verify the homelessness of each client. It should be used by the applicant organization throughout the program year in conjunction with their verification of homelessness form to assure that adequate documentation of homelessness is maintained in client files as required.*

APPENDIX A – HOMELESS ELIGIBILITY CERTIFICATION GUIDE (Pages 18-21)

Applicants should keep Appendix A for future reference.

APPENDIX B - SAMPLE VERIFICATION OF HOMELESSNESS FORM (Pages 22-24)

Applicants should keep Appendix B for future reference.

APPENDIX C - CONTINUUMS OF CARE IN NORTH CAROLINA (Pages 25-28)

Applicants should keep Appendix C for future reference.