

CITY OF ANAHEIM, GARDEN GROVE AND SANTA ANA
FY 2016-2017 EMERGENCY SOLUTIONS GRANT PROGRAM
SUBRECIPIENT FUNDING APPLICATION

Application Deadline:	February 9th, 2016, 4:00 p.m.
Return Location:	City of Anaheim Community Development Dept. 201 S. Anaheim Boulevard, Suite 1003 Anaheim, CA 92805
Contact:	Albert Ramirez - (714) 765-4300 extension 4826

BACKGROUND

The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act), enacted into law on May 20, 2009, consolidates three of the separate homeless assistance programs administered by HUD under the McKinney-Vento Homeless Assistance Amendments Act into a single grant program, and revised the Emergency Shelter Grants program and renamed it the Emergency Solutions Grants (ESG) program.

The ESG program is designed to identify sheltered and unsheltered homeless persons, as well as those at risk of homelessness, and provide the services necessary to help those persons to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness. HUD has changed the program's focus from addressing the needs of homeless in emergency or transitional shelters to assisting people to regain stability in permanent housing.

Eligible ESG recipients apply through the Consolidated Planning process. Among other things, this process helps communities assess their homeless assistance and housing needs, examine available resources, and develop an annual action plan to meet priority needs. Plan preparation must include citizen participation and consultation with various organizations, including the local Continuum of Care. Alternatively, the Continuum of Care is required to coordinate with ESG recipients on homeless assistance activities and funding.

ORANGE COUNTY ESG COLLABORATIVE

The ESG Recipients in Orange County include the following jurisdictions: County of Orange¹, City of Anaheim, City of Santa Ana and City of Garden Grove. Collectively, this group will be referred as the Orange County ESG Collaborative.

The City of Anaheim is releasing this application in partnership with the City of Santa Ana and City of Garden Grove to achieve the Orange County Continuum of Care goal to end homelessness. To ensure that funds are leveraged to create maximum impact, the Orange County ESG Collaborative has created a single request for proposals, developed aligned values and priorities, and makes funding decisions collaboratively. To minimize duplication of effort in the application process, Anaheim will accept applications, with attached supplemental applications and requirements for both Santa Ana and Garden Grove.

The Orange County ESG Collaborative makes funds available to organizations that provide homelessness prevention and rapid rehousing services, conduct street outreach, operate

¹ County of Orange ESG funds are not included in this RFP.

emergency shelters and transitional housing facilities for various homeless populations. The Collaborative invites eligible organizations to apply for FY 2016-2017 ESG funding. The attached application provides an opportunity for organizations to propose their homeless assistance and/or homelessness prevention services.

While applicant organizations may offer services throughout Orange County, the ESG funds must be used to provide eligible activities within each jurisdiction for which they are requesting funding. The FY 2016-2017 minimum grant amount will be \$20,000 from each applicable city.

AWARDS

The Orange County ESG Collaborative expects to receive approximately \$1,047,000 in Fiscal Year (FY) 2016-2017 Emergency Solutions Grant (ESG) funds from the U.S. Department of Housing and Urban Development (HUD). Below are ESG funding approximates by each city.

Anaheim:	\$377,000
Garden Grove:	\$175,000
Santa Ana:	\$495,000
Estimated Total Funds:	\$1,047,000

****Amounts are subject to change. If the actual amount awarded by HUD is less than the anticipated amount reflected above, the Collaborative will reduce the amounts to be allocated.*

ELIGIBLE ACTIVITIES

Eligible sub-recipients who are awarded ESG funds may use funds to:

1. Engage homeless individuals and families living on the streets (Street Outreach);
2. Help operate emergency, transitional and domestic violence shelters for the homeless(Emergency Shelter-Shelter Operations);
3. Provide essential services to shelter and transitional housing residents (Emergency Shelter-Essential Services);
4. Rapidly re-house homeless individuals and families by providing up to 24 months of rent, utilities, security deposits, and services such as case management, housing search and placement, legal services, etc. (Rapid Re-Housing-Rental Assistance/Housing Relocation and Stabilization Services);
5. Prevent families and individuals from becoming homeless (Homeless Prevention-Rental Assistance/Housing Relocation and Stabilization Services);
6. The cost of participating in an existing Homeless Management Information System (HMIS) database (HMIS/Data Collection); and

MINIMUM REQUIREMENTS

The following criteria will be used to screen applicant eligibility for the Orange County ESG Collaborative Application:

- Non-profit organization with federal 501(c)(3) tax-exempt status or a government entity
- Nonprofit organizations in good standing with the California Secretary of State and Attorney General
- At least two (2) years of direct experience assisting the homeless or those at risk of homelessness;
- Organization must include at least one (1) individual who is or was homeless or at risk of homelessness in a policy-making position, for example as a member of the organization's board, *or* demonstrate a policy and an active practice of involving active or potential beneficiaries in program assessment and design
- Proposal to implement ESG eligible activities
- Ability to meet a dollar-for-dollar funding match of the total grant award (see Exhibit 2)
- Participate in the CoC's Homeless Management Information System (HMIS) or, if a victim service provider, be able to maintain an alternative database
- Ability to meet applicable Cities requirements (See Exhibit 15, 16 and 17)

EVALUATION CRITERIA

The City (ies) will evaluate applications based on various factors to determine the organization's suitability for the City (ies) ESG Program. These factors may include:

- Prior experience implementing an ESG program
- Performance history with the City's ESG Program
- A proposed funding request that conforms to HUD's categorical spending caps
- The ability to leverage other homeless assistance funds
- Provision of robust supportive services and a demonstrated record of helping homeless families (or individuals) achieve stability

APPLICATION REVIEW PROCESS

1. City staff reviews applications and proposed activities for ESG eligibility
2. The Orange County ESG Collaborative will review applications and develop funding recommendations.
3. Each City presents funding recommendations to their respective governing bodies.
4. Each jurisdiction's City Council considers the FY 2016-2017 Annual Action Plan, which will include the recommended ESG Program budget and sub recipient grant amounts to be forwarded to HUD for review and approval.

SUBMITTAL TIMELINE

Please review the key dates and deadlines of the RFP process:

Release of RFP	January 21 st , 2016
Last day for RFP questions	February 2 nd , 2016
Proposals Due	February 9 th , 2016
Preliminary Award Letters	February 2016
Approval of Funding Recommendations	March-May 2016

*Dates are subject to change

Applicants must submit all required documents to City of Anaheim. The submission will be time-stamped on the cover page by City of Anaheim staff. It is the sole responsibility of the Respondent to ensure that delivery is made to the City of Anaheim prior to the Due Date and Time. Delivery receipts are available upon request. Timely submission is a Threshold Requirement. **Late submissions will not be accepted.**

GENERAL INSTRUCTIONS AND DOCUMENTATION REQUIREMENTS

1. Submit **eight copies** of the ESG Subrecipient Funding Application and the required exhibit (refer to the *Application Checklist*). Please do not include any other exhibits.
2. One (1) electronic copy on a USB flash drive with completed RFP and exhibits, along with other pertinent documentation to be organized and separated per Document Presentation requirements.
3. Clearly identify which version is the original and which is the copy on the front page of the document.
4. All sections will be numbered separately with tabs in accordance with the Application Checklist.
5. Most recent documentation for each exhibit.
6. Dividers with tabs clearly labeled between each exhibit.
7. Complete all exhibits per RFP requirements. Do not leave any blank responses without an explanation. If the question is not applicable, please indicate N/A.
8. All documents with a signature block must be signed by the authorized officer(s).
9. All supporting documents must be included in the submission. No exceptions.
10. All supporting documents must be legible.
11. Double-sided.

Failure to submit any of the required documents will result in failure to pass threshold review. The RFP submission including all exhibits must be **received** by Community Development staff by 4:00 pm Pacific Standard Time on February 9th, 2016:

City of Anaheim/ Community and Economic Development Department

Attn: Albert Ramirez

201 S. Anaheim Blvd., Suite 1003

Anaheim, CA 92805

RIGHT TO WAIVE IRREGULARITIES

The Orange County ESG Collaborative reserves the right to:

1. Withdraw this solicitation at any time without prior notice and, furthermore, make no representation that any contract occur and that funds will be awarded to any respondent to this solicitation.
2. Waive any irregularities in the RFP process and to reject any and all submissions not in the best interest of the Cities.
3. To request additional information and material.
5. Retain all submitted applications. Selection or rejection of an application does not affect these rights.

ADDITIONAL INFORMATION

Agencies will be required to comply with the terms set forth by HUD. In addition, all applicants are strongly advised to review all applicable terms, conditions and federal requirements.

It is strongly encouraged that you obtain and review information related to the HEARTH Act Regulations, along with any other related documents prior to completion of this RFP. In addition, HUD will provide updates via their website at <https://www.hudexchange.info/>.

Upon notification of the RFP results, agencies interested in appealing the process will follow the applicable City's procedures. (Note: Award letters will include appeal process).

FURTHER QUESTIONS

City of Anaheim is available to answer questions on the Letter of Intent, application deadlines, process, training, or to provide copies of application materials. For questions or technical assistance, please contact Albert Ramirez at the City of Anaheim. For City specific questions contact Albert Ramirez at (714) 765-4300 ext. 4826 for Anaheim, Allison Mills at (714) 741-5139 for Garden Grove and Terri Eggers at (714) 647-5378 for Santa Ana.

Questions and answers will be posted on the City of Anaheim's website. The last date to submit questions is February 2nd, 2016.

ORANGE COUNTY ESG COLLABORATIVE
FY 2016-2017 EMERGENCY SOLUTIONS GRANT PROGRAM

CHECKLIST

- Section 1: ESG Application
 - Exhibit 1: Program Budget
 - Exhibit 2: Match
 - Exhibit 3: Service Goals
 - Exhibit 4: Written Standards
 - Exhibit 5: Proof of your 501(c)(3) federal tax-exempt status and current registration as a California non-profit, tax-exempt corporation
 - Exhibit 6: Audited Financials
 - Exhibit 7: Most current financial statement
 - Exhibit 8: Copies of last 4 Board of Director's meeting minutes with Board Member's Roster,
 - Exhibit 9: Copy of Organizations By-Laws
 - Exhibit 10: Copy of Organizations Articles of Incorporation

- Section 2: ESG and CoC Compliance Documents:
 - Exhibit 11: Participation Status in Local Continuum of Care, Ten Year Plan to End Homelessness, HMIS Data Information and Coordinated Assessment System
 - Exhibit 12: Terms and Conditions
 - Exhibit 13: HUD Certifications
 - Exhibit 14: Affirmative Action Plan

- Section 3: Additional Requirements
 - Exhibit 15: Anaheim Specific Requirements
 - Exhibit 16: Garden Grove Specific Requirements
 - Exhibit 17: Santa Ana Specific Requirements

FY 2016-17 EMERGENCY SOLUTIONS GRANT APPLICATION

*Please tab through document to answer questions below or attach a separate document.
All sections must be completed (or included in separate document) in order to be considered
for funding*

A. CONTACT INFORMATION

Provide agency name, address, contact, email address and phone number of the person submitting the Request for Funds:

Agency Name:

Agency Address:

City, State, Zip:

Contact Name:

Contact Title:

Email Address:

Phone Number:

Agency DUNS #:

Federal Tax ID #:

Type of Agency: Non Profit Local Government Faith-Based

B. PROJECT SUMMARY

1. Provide a brief description of the type of project to be funded with the ESG program and target population to be served.

2. Briefly describe any admission criteria that will be used to identify those to be served by the project.

3. Estimated number of households to be served using ESG and non-ESG funded resources.

4. Total amount of funding requested (be city specific).

5. Select the type of program which will be offered to eligible clients:

Housing First (No programmatic prerequisites to entry)

Low Barrier (Few to no programmatic prerequisites).

Client must meet certain eligibility criteria, such as employment or income requirements, as defined in the agency's Written Standards (***Describe all eligibility criteria in the agency's Written Standards which is an exhibit to the application***)

SECTION I
 OVERVIEW

A. ACTIVITY TYPE AND POPULATIONS SERVED

Select activities the applicant wishes to obtain ESG funding. Refer to Section III for activity definitions.

Activity	Check all that apply to this application
Street Outreach*	<input type="checkbox"/>
Emergency Shelter-Shelter Operations* (including Transitional Housing and Day shelters)	<input type="checkbox"/>
Emergency Shelter-Essential Services*	<input type="checkbox"/>
Homeless Prevention	<input type="checkbox"/>
Rapid Re-Housing	<input type="checkbox"/>
HMIS/Data Collection	<input type="checkbox"/>

Select all populations anticipated be served by program type (Select all that apply)

Population(s) Served	Emergency Shelter	Street Outreach	Homeless Prevention	Rapid Re-Housing
Victims of domestic violence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Homeless youth (under 25 years of age)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Persons with HIV/AIDS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Veterans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chronically homeless Individuals or Families	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Homeless families with children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physically, mentally or developmentally disabled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Alcohol or Drug abusers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Elderly (62+ years)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. MINIMUM THRESHOLD REQUIREMENTS

The agency submitting this Request for Funds must meet the minimum threshold requirements below. If the agency cannot provide documentation to demonstrate that it meets all of the criteria below, the Request for Funds will not be considered for funding.

Mark if met	Threshold Requirements	Documentation to be provided with Request for Funds
<input type="checkbox"/>	Agency must provide services in one of the three cities.	No documentation required. Address of where agency will provide services is sufficient
<input type="checkbox"/>	Agency must have had non-profit status for at least 3 full years , or be a governmental entity proposing to serve homeless or at-risk of homeless clients	Copy of current non-profit designation from the IRS (not applicable for government entities)
<input type="checkbox"/>	Agency must be able to provide a copy of their Articles of Incorporation and By-Laws.	Provide copies of Agency Articles of Incorporation and By-Laws.
<input type="checkbox"/>	<p>If more than \$750,000 in federal funds was expended in one year the agency must be able to provide a copy of the most recent A-133 audit.</p> <p>The agency must be able to provide a copy of recent independent audit if it has expended \$100,000-\$749,999 in federal funds in one year.</p> <p>If less than \$100,000 in federal funds was expended, agency must be able to submit unaudited financial statements along with a written statement certifying that the agency did not receive more than \$100,000 in federal funds this past year.</p>	<p>A copy of the most recent A-133 audit and all management letters is required.</p> <p>A copy of the most recent audited financial statement, using guidelines reflected in the left column; and copies of any management letters.</p> <p>A written letter certifying that the agency did not expend more than \$100,000 in federal funds, along with unaudited financial statements.</p>
<input type="checkbox"/>	Non-profit agencies must be able to provide a current financial statement.	Current financial statement that includes income and expense statement, balance sheet and cash flow statements.
<input type="checkbox"/>	Non-profit agencies must demonstrate that the agency has an active independent Board of Directors that meets at least 4 times a year.	Provide dated copies of the last 4 Board of Director's meeting minutes, along with listing of name, title and contact information of all Board members.
<input type="checkbox"/>	In addition to items reflected above, faith-based organizations must agree to terms of CPD Notice 04-10 issued September 29, 2004 in order to be eligible for assistance.	A signed statement indicating that the faith-based organization has read and agrees with requirements of CPD Notice 04-10, Section IV & VIII, available at: http://www.hud.gov/offices/cpd/lawsregs/noti

2. Provide the total number of years/months that current staff have in providing case management to homeless or at-risk of homelessness populations at this or any other agency:

Federal Grants experience:

1. Describe staff experience administering other Federal housing and/or homeless services grants. Include total number of years for each staff who will be involve in oversight of the Emergency Solutions Grant program:

Marketing of programs:

1. Describe how the agency has marketed programs and engaged persons on a day-to-day basis that ***are least likely*** to request assistance for housing and supportive services. ***Do not include*** engagement that occurs during special outreach activities such as point-in-time counts, homeless stand downs, etc in this section:

B. COMMUNITY NEEDS AND GAPS

1. Describe a short summary of current gaps in programs and services for clients in need of homeless and at-risk of homelessness populations. Include an explanation as to why the agency feels the population to be served ***is most in need of assistance.*** Identify obstacles that prohibit the agency from currently addressing underserved needs with resources already available:

2. (Emergency Shelter applicants only) Provide the agency's average utilization rate(s) for emergency shelter and/or transitional housing beds for the homeless for the period of July 1, 2014 through June 30, 2015. Provide documentation from Clarity (if current ESG recipient) or other database that reflects the utilization rate. ***If utilization rates do not exceed 80%, applicant must provide an explanation as to why funding is being requested in the area below.***

Utilization rate for period of July 1, 2014 – June 30, 2015:

Total number of nightly beds available x 365/number of used beds for the year)

Number of Beds available each night :

Explanation if utilization rate is less than 80% for the 1 year period:

3. If applicant currently provides homeless prevention and/or rapid re-housing assistance (or other similar program), provide the total number of clients served and describe the type of clients who received assistance from July 1, 2014 through June 30, 2015 (chronically homeless, veterans, families with children, etc.). Include a copy of the ESG CAPER report (or other database if not ESG funded) that supports the data provided in this response.

Total number of clients served for RRH:

Homeless Prevention:

Describe type of client served:

Estimated number of persons who were turned away due to lack of funding:

C. CLIENT ENGAGEMENT PROCESS

Provide answers only in areas that will be funded with ESG funds in 2016. For example, if not requesting rapid re-housing then a response is not required under the “rapid re-housing” section. *A response is required under “All Activities” section.*

If Requesting Outreach Funding

1. Describe proposed outreach efforts to homeless individuals and families (especially unsheltered persons) that will occur to ensure that they have access to programs and services offered by the agency. Include a summary of how clients will be screened for eligibility and process used to determine need for assistance and long-term stabilization:

If Requesting Rapid Re-Housing Funding

1. Summarize how the applicant will help homeless persons access affordable housing units, including steps which will help prevent individuals and families who were recently homeless from becoming homeless again. Describe collaborations that will occur with emergency and transitional housing shelters to ensure those homeless will have access to housing and supportive services offered by the applicant. Include actions that the agency will take to help homeless clients transition into permanent housing and independent living, **even if not funded through the ESG Program:**

If Requesting Homeless Prevention Funding

1. Describe how the applicant will engage persons in need of homeless prevention funding and the type of client who will be targeted for this program. Summarize efforts which will occur to help low-income individuals and families avoid becoming homeless again, especially extremely low-income individuals and families and those who are: a) being discharged from publically funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or b) who are receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.

If Requesting Emergency Shelter/Essential Services Funding

1. Describe programs or services offered that will address emergency shelter and transitional housing needs of homeless persons. Describe collaborations that will occur with housing and supportive services providers, and explain how clients will be referred to permanent housing programs. Finally describe how long clients are able to stay in shelters and any requirements of clients in order to access shelter and services.

All Activities

1. Summarize the agency's plan to coordinate housing assistance and services that are available specifically for chronically homeless individuals and families, families with children, veterans and their families, and/or unaccompanied youth:

4. Describe how the agency will ensure that all person inquiring about assistance, either on the phone or in person, will be screened for not only ESG-funded assistance, but also other housing programs and services offered within the agency or community, as required by program regulations.

E. COLLABORATION WITH LOCAL CONTINUUM OF CARE AND COMMUNITY COALITIONS

1. Describe the agency's participation in the Orange County Continuum of Care (CoC), including the number of meetings attended and any sub-committees that staff participated in between July 1, 2014 – June 30, 2015:

F. OTHER COLLABORATION EFFORTS

HUD strongly encourages applicants to maximize the utilization of all mainstream services available, and to save ESG funds for housing costs. Applicants are encouraged to

proactively seek and provide information to applicants about other mainstream resources and funding opportunities.

1. Describe all programs, services, and other mainstream resources that will be made available to the homeless or at-risk of homelessness clients. Include programs such as HUD-VASH Voucher program, Section 8-Housing Choice Voucher Program, Supportive Services for Veteran Families (SSVF) Program, Community Services Block Grant Program, United Way, TANF, Emergency Food and Shelter Program, etc., and describe on how clients will be assisted to access these resources.

2. Describe how applicant will engage other community partners in order to address the needs of homeless and at-risk of homeless clients. Include a detailed description of the types of collaboration that will occur with each partner agency listed (attach a separate sheet if necessary in order to provide all information needed), and include partners such as jails, hospitals, the VA, housing authorities, transitional housing providers, youth services providers, elderly services providers, etc:

G. DISCHARGE PLANNING

1. Describe the agency's policy regarding discharging of clients from ESG-funded programs once assistance has ended. Include plans that will ensure clients who are released or terminated from the program are not discharged into a situation that will cause them to be at risk of homelessness or to become homeless due to lack of adequate resources:

H. HOMELESS MANAGEMENT AND INFORMATION SYSTEM (HMIS)

Recipients of ESG and other McKinney-Vento funding must utilize the statewide HMIS database . Agencies must be willing to share data with other agencies in the HMIS system in order to prevent duplication of services to program participants. Domestic violence providers must enter client into the comparable database utilized by the Division to ensure required data is gathered and reported to HUD.

All agencies are responsible for ensuring that privacy policies for HMIS data collection and reporting are followed; that client’s personal identifying information is protected; staff is trained on all HMIS policies and procedures; and data is entered accurately and completely. In addition, agencies must ensure that reports generated from HMIS and provided to the City or HUD are accurate:

- Applicant currently participates in, and enters existing clients into, the HMIS database or comparable database if a DV shelter
- Applicant does not participant in, or enter existing clients into, the HMIS database or comparable database if a DV shelter

Provide name and contact information (email and phone number) of the agency’s staff person who will be the point of contact for HMIS issues:

I. HOMELESS PARTICIPATION

Respond by selecting either option #1 or option #2

1. Applicant involves homeless or formerly homeless individuals on the Board of Directors or other Equivalent Policymaking Entity:

Homeless participation includes (check all that apply):

- Involvement in the construction, renovating, maintaining, and operating facilities assisted under ESG
- Involvement in volunteer services
- Employment
- Involvement in policymaking and decisions regarding facilities, services, etc.

Or

2. Applicant does **NOT** involve homeless or formerly homeless individuals on Board of Directors or other Equivalent Policymaking Entity. If Applicant does **NOT** involve homeless or formerly homeless individuals on the Board of Directors or other Equivalent Policymaking Entity, describe how the applicant will try to engage a homeless or formally homeless person within the organization:

J. OTHER MISCELLANOUS ITEMS

1. If applicant is a current sub-recipient of ESG funds, provide the name of the funding agency:
2. If the applicant is a current user of HMIS, provide the name of the person(s) responsible for reviewing HMIS reports to ensure data is entered accurately and in a timely fashion. Also include the name of the person(s) responsible for reviewing program reports to determine if the agency is on target to meet program outcomes.

3. If a new or returning applicant, the following processes and requirements are already in place (check all that applies):
- Staffs are trained on Lead Based-Paint regulations (N/A for shelters);
 - Staffs are trained on how to calculate and document Rent Reasonableness and Utility Allowances (N/A for shelters);
 - Applicant has a process in place for working with landlords which includes the execution of a Landlord Memorandum of Understanding (N/A for shelters);
 - Applicant has developed written policies and procedures for programs offered to homeless or at-risk of homeless clients, which includes client eligibility criteria;
 - Staffs are trained on conducting Habitability Quality Standards Inspections;
 - Applicant has a current Privacy Policy that has been made available to all staff;
 - Applicant has a current Code of Conduct that has been made available to all staff;
 - Applicant has a current Grievance Policy that has been made available to program participants and applicable staff; and
 - Applicant has developed a Housing Assessment and Housing Plan for clients to ensure their long term success.
4. If the applicant is a current recipient of ESG funding and ***has expended less than 50% of the 2015 allocation as of the due date of this application***, provide an explanation with reasons behind delays in requesting funds, and the need for additional funds in 2016. Also include a summary of the Agency's plan to ensure all previous year's funding will be expended by the grant deadline:

5. Use this area to document actual success stories that have resulted from efforts made by agency staff to address and end homelessness, including chronically homeless individuals, families, and veterans.

SECTION III

ACTIVITY DEFINITIONS AND REQUEST FOR FUNDS SUMMARIES

A. ELIGIBLE ACTIVITY DEFINITIONS

1. Street Outreach, Emergency Shelter and Essential Services

- a. **Street Outreach:** Providing essential services necessary to reach out to unsheltered homeless people; connect them with emergency shelter, housing or critical services; and provide urgent non-facility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing or an appropriate health facility. An example of an eligible costs under this category would be salaries for staff to engage homeless persons living in homeless camps so that services can be provided *at the camp* and not at the local shelter. Services might include food, medical supplies, counseling and referrals to other programs and services.
- b. **Emergency Shelter Operations:** Costs of maintaining emergency shelter and transitional housing for the homeless, including the following: minor or routine repairs; rent; food; security; fuel; equipment; telephone/cell services; internet expenses; furnishings; office supplies, utilities, insurance, and other supplies necessary for the operation of the shelter(s). *Where no appropriate emergency shelter is available for homeless individuals and families, eligible costs may also include a hotel or motel voucher.*
- c. **Emergency Shelter-Essential Services:** ESG funds may be used to provide essential services to persons in emergency shelters. Includes case management, education services, employment assistance, life skills, etc. of clients residing in homeless shelters

2. Homeless Prevention and Rapid Re-Housing, Data Collection and Administration

- a. **Rapid Re-Housing-Rental Assistance (HUD Priority Need Activity):** Short- to medium-term rental assistance for up to 24 months, including up to six months of rental arrears, to homeless individuals and families. Housing assistance provided must be located in **permanent housing**.
- b. **Rapid Re-Housing-Housing Relocation and Stabilization Services (HUD Priority Need Activity):** Financial Assistance such as rental application fees, security deposits, etc., and/or services such as case management, housing search and placement, legal services, etc.
- c. **Homeless Prevention-Rental Assistance:** Short- to medium-term rental assistance for up to 24 months, including up to six months of rental arrears, to individuals and families *at imminent risk* of homelessness. Housing assistance provided must be located in **permanent housing**.
- d. **Homeless Prevention-Housing Relocation and Stabilization Services:** Financial Assistance such as rental application fees, security deposits, etc.,

and/or services such as case management, housing search and placement, legal services, etc.

- e. **HMIS and Data Collection:** Staff costs for contributing data to the HMIS designated by the local Continuum of Care, including time to complete data entry, monitoring and reviewing of data quality. If applicant is a Victim Services provider, funds may be used to establish and operate the Division approved comparable database. Activities funded under this category must comply with HUD’s standards on participation, data collection and reporting under HMIS, including implementation of privacy policies to ensure that a program participant’s personal identifying information is protected.

B. FUNDING REQUESTS AND ACTIVITY SUMMARY

Amount(s) requested must equal amount(s) entered in Exhibit 1-ESG Budget form.

1. Street Outreach

Amount Requested:

Anaheim \$

Garden Grove \$

Santa Ana \$

Is agency an existing ESG recipient for Street Outreach funding? Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding? Yes No

Describe why the project is considered to be a Priority Need within the community:

2. Emergency Shelter-Shelter Operations:

Amount Requested:

Anaheim \$

Garden Grove \$

Santa Ana \$

Is agency an existing ESG recipient for Shelter Operation funding? Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding? Yes No

Describe why the project is considered to be a Priority Need within the community. Provide the number of days/weeks/months clients will be allowed to stay at the shelter; steps that will be taken by agency staff to ensure clients are discharged into transitional or permanent housing; and other resources that will be made available to help improve their homeless situation.

Is the applicant denied access to shelter if unable to pay occupancy or rental fees?

Yes No N/A

If yes please explain:

Will the applicant reserve a portion of any occupancy or rental fees charged in order to assist the program participant to move into permanent housing? If yes please describe below:

Yes No N/A

Describe:

3. Emergency Shelter-Essential Services:

Amount Requested:

Anaheim \$

Garden Grove \$

Santa Ana \$

Is agency an existing ESG recipient for Essential Shelter Service funding?

Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding? Yes No

Describe why the project is considered to be a Priority Need within the community. Include estimated number of hours per week/month clients will receive case management regardless if case management will be funded with ESG:

4. Rapid Re-Housing-Rental Assistance:

Amount Requested:

Anaheim \$

Garden Grove \$

Santa Ana \$

Is agency an existing ESG recipient for rapid re-housing funding? Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding? Yes No

Describe why this activity is considered to be a Priority Need within the community:

Will the applicant charge a portion of month rent to program participants?
 Yes No

If yes please describe:

Does the applicant deny assistance to program participants if unable to pay occupancy or rental fees: Yes No N/A

5. Rapid Re-Housing-Housing Relocation & Stabilization Services:

Amount Requested: \$

Is agency an existing ESG recipient for RRH-HR&S funding?
 Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding?

Yes No

Describe why this activity is considered to be a Priority Need within the community:

6. Homeless Prevention-Rental Assistance:

Amount Requested:

Anaheim \$

Garden Grove \$

Santa Ana \$

Is agency an existing ESG recipient for Homeless Prevention funding?

Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding? Yes No

Describe why this activity is considered to be a Priority Need within the community:

Will the applicant charge a portion of month rent to program participants?

Yes No

If yes please describe:

Does the applicant deny assistance to program participants if unable to pay occupancy or rental fees: Yes No N/A

7. Homeless Prevention-Housing Relocation & Stabilization Services:

Amount Requested:

Anaheim \$

Garden Grove \$

Santa Ana \$

Is agency an existing ESG recipient for HP-HR&S funding? Yes No

Is this activity identified as a “Priority Need” in the Consolidated Plan of the City for which you are applying for funding? Yes No

Describe why this activity is considered to be a Priority Need within the community:

8. HMIS/Data Collection:

Amount Requested: \$

TOTAL ESG FUNDS REQUESTED: \$

C. ANTICIPATED PERFORMANCE OUTCOMES

1. If the Applicant will be providing emergency shelter, rapid re-housing, or other services to harder to serve populations (mentally or physically disabled, chronic substance users, chronically homeless, etc.), describe how the agency will target these populations. Describe actions which will be taken to ensure long-term stabilization once a participant exits a program.

6. If the Applicant will be providing assistance to homeless veterans, describe details on how they will be provided access to permanent housing.

D. MATCH OBLIGATION

24 CFR part 576.201 requires that agencies receiving funds obtain matching contributions to supplement the program in an amount that equals the ESG allocation. Applicants must complete Exhibit 2 Match Form and return with the Request for Funds, ensuring match will be provided during the grant period and is equal to the amount requested above:

Total Match reported on Exhibit 2: \$

Has Agency obtained sufficient match that equals the total amount of ESG funds requested above (Attach written proof of match sources)? Yes No

If “no” summarize the applicant’s plan that will ensure that this requirement is met:

EXHIBIT 1: PROGRAM BUDGET

ESG Program Budget

Agency Name:	Anaheim ESG Funds Requested	Garden Grove ESG Funds Requested	Santa Ana ESG Funds Requested	Total Project Budget <i>(Include all funding used to run program)</i>
Expense Category				
Street Outreach				
Engagement, case mgmt, emergency health/mental health services, transportation, services for special populations				
<i>Street Outreach Subtotal</i>				
Shelter				
Essential Services				
Operations				
<i>Shelter Subtotal</i>				
Homelessness Prevention				
Rental Assistance: Short- or medium-term or arrears				
Housing Relocation & Stabilization Services: Other Financial Assistance (Rental app fees, security deposits, last month's rent, utility deposits, utility payments, moving costs)				
Housing Relocation & Stabilization Services: Case Management				
Housing Relocation & Stabilization Services: Services Costs (Mediation, legal services, credit repair)				
<i>Homelessness Prevention Subtotal</i>				
Rapid Re-housing				
Rental Assistance: Short- or medium-term or arrears				
Housing Relocation & Stabilization Services: Other Financial Assistance (Rental app fees, security deposits, last month's rent, utility deposits, utility payments, moving costs)				
Housing Relocation & Stabilization Services: Case Management				
Housing Relocation & Stabilization Services: Services Costs (Mediation, legal services, credit repair)				
<i>Rapid Re-housing Subtotal</i>				
Data Collection/Reporting				
Salaries for data collection				
Other (comparable database, etc)				

Data Collection/Reporting Subtotal				
Grand Total				
Matching Contributions		Amount		
Cash (Federal, state, local, or private grants, or other contributions)				N/A
Noncash (Real property, equipment, goods, services, etc)				N/A
Total Matching Contributions (Must equal amount reflected in Exhibit 2)				

EXHIBIT 2: MATCH

TOTAL FUNDS REQUESTED:

Match Documentation		
Match Source	Match Amount	Documentation Description

The undersigned individuals do, by their respective oaths solemnly swear and affirm as follows:

- That the Staff Member completing this Match Certification has verified the eligibility of the match item(s) to which this certification relates;
- That the Staff Member has reviewed the Federal Guidelines regarding the match requirement listed on page two of ESG-229 from the HUD ESG Interim Rule; and,
- That the Staff Member has verified that the funds used to Match the ESG Program are not being used to match any other grant;
- That the Staff Member has collected valid documentation of Match for which this certification relates; and,
- That the Executive Director has reviewed the Match documentation to which this Match Certification relates, and has verified that all the representations made by the Staff Member in this Match Certification are true and correct.

The undersigned individuals affirm, by penalty of perjury, that all the statements made herein are true and correct.

 Staff Signature Date

 Staff Print Name

 Executive Director Signature Date

 Executive Director Print Name

**DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

**24 CFR Parts 91 and
576 [Docket No. FR-
5474-I-01] RIN 2506-
AC29**

**Homeless Emergency Assistance
and Rapid Transition to Housing:
Emergency Solutions Grants
Program and Consolidated Plan
Conforming Amendments**

AGENCY: Office of the Assistant
Secretary for Community Planning
and Development, HUD.

ACTION: Interim rule.

§ 576.201 Matching requirement.

(a) *Required amount of matching contributions.* (1) Except as provided under paragraphs (a)(2) and (a)(3) of this section, the recipient must make matching contributions to supplement the recipient's ESG program in an amount that equals the amount of ESG funds provided by HUD. (2) If the recipient is a State, the first \$100,000 of the fiscal year grant is not required to be matched. However, the recipient must transfer the benefit of this exception to its subrecipients that are least capable of providing the recipient with matching contributions. (3) This matching requirement does not apply if the recipient is a territory. (b) *Eligible sources of matching contributions.* (1) Subject to the requirement for States under paragraph (a)(2) of this section, the recipient may require its subrecipients to make matching contributions consistent with this section to help meet the recipient's matching requirement. (2) Matching contributions may be obtained from any source, including any Federal source other than the ESG program, as well as state, local, and private sources. However, the following requirements apply to matching contributions from a Federal source of funds: (i) The recipient must ensure the laws governing any funds to be used as matching contributions do not prohibit those funds from being used to match Emergency Solutions Grant (ESG) funds. (ii) If ESG funds are used to satisfy the matching requirements of another Federal program, then funding from that program may not be used to satisfy the matching requirements under this section. (c) *Recognition of matching contributions.* (1) In order to meet the matching requirement, the matching contributions must meet all requirements that apply to the ESG funds provided by HUD, except for the expenditure limits in § 576.100. (2) The matching contributions must be provided after the date that HUD signs the grant agreement. (3) To count toward the required match for the recipient's fiscal year grant, cash contributions must be expended within the expenditure deadline in § 576.203, and noncash contributions must be made within the expenditure deadline in § 576.203. (4) Contributions used to match a previous ESG grant may not be used to match a subsequent ESG grant. (5) Contributions that have been or will be counted as satisfying a matching requirement of another Federal grant or award may not count as satisfying the matching requirement of this section. (d) *Eligible types of matching contributions.* The matching requirement may be met by one or both of the following: (1) *Cash contributions.* Cash expended for allowable costs, as defined in OMB Circulars A-87 (2 CFR part 225) and A-122 (2 CFR part 230), of the recipient or subrecipient. (2) *Noncash contributions.* The value of any real property, equipment, goods, or services contributed to the recipient's or subrecipient's ESG program, provided that if the recipient or subrecipient had to pay for them with grant funds, the costs would have been allowable. Noncash contributions may also include the purchase value of any donated building. (e) *Calculating the amount of noncash contributions.* (1) To determine the value of any donated material or building, or of any lease, the recipient must use a method reasonably calculated to establish the fair market value. (2) Services provided by individuals must be valued at rates consistent with those ordinarily paid for similar work in the recipient's or subrecipient's organization. If the recipient or subrecipient does not have employees performing similar work, the rates must be consistent with those ordinarily paid by other employers for similar work in the same labor market. (3) Some noncash contributions are real property, equipment, goods, or services that, if the recipient or subrecipient had to pay for them with grant funds, the payments would have been indirect costs. Matching credit for these contributions must be given only if the recipient or subrecipient has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of those contributions. (f) *Costs paid by program income.* Costs paid by program income shall count toward meeting the recipient's matching requirements, provided the costs are eligible ESG costs that supplement the recipient's ESG program.

EXHIBIT 3: SERVICE GOALS

Anticipated number of *unduplicated* clients to be served by Program Type. Please complete a separate form for each City that you are requesting ESG funds.

Agency Name:		
ESG Amount Requested	\$	
Activity Type	Amount Requested	Anticipated of clients to be served (provide number of Individuals and Families <i>and</i> number of adults and children
Street Outreach		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Emergency Shelter- Shelter Operations		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Emergency Shelter- Essential Services		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Homeless Prevention- Rental Assistance		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Homeless Prevention- Housing Relocation & Stabilization (<i>Include only unduplicated not reflected under Rental Assistance</i>)		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Rapid Re-Housing- Rental Assistance		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Rapid Re-Housing- Housing Relocation & Stabilization (<i>Include only unduplicated not reflected under Rental Assistance</i>)		_____ Individuals
		_____ Families
		_____ Adults
		_____ Children
Data collection/HMIS		N/A

EXHIBIT 4: WRITTEN STANDARDS CHECKLIST

Written Standards Checklist

The U.S. Department of Housing and Urban Development requires sub-recipients to develop and implement Written Standards for programs provided through the Emergency Solutions Grant Program. The following guidelines must be followed when developing these Standards. Standards for emergency shelter programs will be different than Standards for homeless prevention and rapid re-housing programs. Agencies must ensure that the Standards developed are appropriate for programs offered. Enter a checkmark next to applicable areas as the Standards are completed to ensure all aspects of the requirements are met. *A copy of the Written Standards, along with this checklist, must be provided as part of this Request for Funds.*

ALL PROGRAMS	CHECK IF IMPLEMENTED
1. Standards include the area of service where assistance shall be offered.	<input type="checkbox"/>
2. Standards include all type(s) of assistance that will be offered through the ESG program.	<input type="checkbox"/>
3. Standards summarize the procedure in place that defines how program participants will be evaluated for eligibility of assistance under the ESG program <u>using the coordinated intake and assessment system located within the applicant's Area of Service</u> . (Note: DV shelters must follow the requirements of the Violence Against Women Act and the Family Violence Prevention and Services Act which prohibits agencies from making its shelter or housing conditional on the participant's acceptance of service)	<input type="checkbox"/>
4. Standards include procedures describing the coordination that will occur among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers, other homeless assistance providers, and mainstream service and housing providers.	<input type="checkbox"/>
5. Standards include a list of available programs that program participants will be referred, including all programs reflected in 576.400 (b) and (c) such as Shelter + Care, VASH Voucher, Section 8, Emergency Food and Shelter program, etc. if available to program participants in the agency's area of service.	<input type="checkbox"/>
6. Standards describe the formal termination process established by the agency that recognizes the rights of individuals affected. The agency must exercise judgment and examine all extenuating circumstances in determining when violations warrant termination so that a program participant's assistance is terminated only in the most severe cases.	<input type="checkbox"/>
7. Standards describe the program participant's formal grievance process. Included shall be the right for the participant to contact the agency's Director, the Housing Division or HUD.	<input type="checkbox"/>
8. Standards include summaries regarding the requirement that clients served and activities provided with ESG funds will be entered into HMIS (or comparable database if a DV shelter), the timeframe for data to be entered, and the process for ensuring confidentiality of client records.	<input type="checkbox"/>
9. Standards include steps used to ensure clients receiving ESG assistance are provided all applicable HMIS releases, forms, client complaint process, etc. as required by HMIS regulations.	<input type="checkbox"/>

STREET OUTREACH/ EMERGENCY SHELTER OPERATIONS/ESSENTIAL SERVICES	
1. Standards include a summary of how agency staff will target and provide services related to street outreach, if provided.	<input type="checkbox"/>
2. Standards include steps for admission, diversion, referral, and discharge by emergency shelters assisted under ESG. Include standards regarding length of stay limits, if any, and safeguards to meet the safety and shelter needs of special populations, such as victims of domestic violence, sexual assault, etc.	<input type="checkbox"/>
3. Standards include procedures for admission, diversion, referral and discharge by emergency shelters for individuals and families who have the highest barriers to housing and are likely to be homeless the longest.	<input type="checkbox"/>
4. Standards include assessing, prioritizing, and reassessing individuals and families' needs for essential services related to emergency shelter.	<input type="checkbox"/>
5. Standards include procedures on how staff will provide referrals of shelter clients to permanent housing programs.	<input type="checkbox"/>
6. Standards include procedures on how staff will increase household income, including earned income, other cash income, and non-cash income resources.	<input type="checkbox"/>
HOMELESS PREVENTION AND RAPID RE-HOUSING	
1. Standards shall include definitions of who is considered to be homeless and at-risk of homelessness, as defined in 576.2. <i>(Note: Agencies are <u>not</u> allowed to use the definition under 576.2(iii)(G), that states "Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness")</i>	<input type="checkbox"/>
2. Standards include a process for determining and prioritizing which eligible families and individuals will receive homeless prevention or rapid re-housing assistance. <i>If agency is utilizing a "vulnerability index" please describe how it will be used to determine clients who are most in need of assistance.</i>	<input type="checkbox"/>
3. Standards include standards for determining what percentage or amount of rent and utilities costs each program participant must pay while receiving homelessness prevention or rapid re-housing assistance, if applicable.	<input type="checkbox"/>
4. Standards include process for evaluating and documenting income eligibility since program participant's income must be below 30% of area median income as established by HUD for the area in which the participant lives when entering the program. Agencies must follow guidelines found under 24 CFR 5.609 when calculating income.	<input type="checkbox"/>
5. Standards include the steps to determine the eligibility of rental assistance, including steps to determine that rent + utilities do not exceed Fair Market Rents for the area of service.	<input type="checkbox"/>
6. Standards include how agency staff will document FMR and rent reasonableness standards, lead based paint inspections, and housing inspections. Included shall be procedures to verify and document the age of the units built before 1978 may contain lead based paint.	<input type="checkbox"/>
7. Standards include steps for determining how long a program participants will be provided rental assistance and whether or not (and how) the amount of that assistance will be adjusted over time, if applicable.	<input type="checkbox"/>

<p>8. Standards include steps for determining the type, amount, and duration of housing stabilization and/or relocation services to provide to a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, the maximum number of months the program participant receives assistance, or the maximum number of times the program participant may receive assistance.</p>	<input type="checkbox"/>
<p>9. Standards that includes the requirements of program participants to meet with a case manager not less than once per month to assist the program participant in ensuring long-term housing stability (and be documented in client case file and HMIS). Included shall be the agency's plan to assist the program participant to retain permanent housing after the ESG assistance ends, taking into account all relevant considerations such as the program participant's current or expected income and expenses, other public or private assistance for with the program participant will be eligible and likely to receive, and the relative affordability of available housing in the area. (Note: DV shelters must follow the requirements of the Violence Against Women's Act or the Family Violence Prevention and Services Act which prohibits agencies from making shelter or housing conditional on the participant's acceptance of service.)</p>	<input type="checkbox"/>
<p>10. Standards include requirements that clients will be re-evaluated for program eligibility and the types and amounts of assistance the program participant needs. This re-evaluation process shall be conducted not less than once every 3 months for program participants who are receiving homelessness prevention assistance and not less than once annually for program participants receiving rapid re-housing assistance. Income limits shall not exceed 30% of AMI; the participants still lacks the resources and support networks necessary to retain housing.</p>	<input type="checkbox"/>
<p>11. Standards shall include any requirements the agency may have regarding the requirement of the program participant to notify the agency of any change in income, stability, support circumstances that would affect the program participant's need for assistance under the ESG program. If applicable, when notified of the relevant change, the agency shall include steps to re-evaluate the program participant's eligibility and amount and types of assistance the program participant needs.</p>	<input type="checkbox"/>
<p>12. If the program participant receives rental assistance or housing relocation and stabilization services, the Standards shall include the formal process for terminating a program participant that includes:</p> <ul style="list-style-type: none"> a) Written notice to the program participant containing a clear statement of the reasons for termination; b) A review of the decision, in which the participant is given the opportunity to present written or oral objections before a person other than the person who made or approved the termination decision; and c) Prompt written notice of the final decision to the program participant. <i>Included shall be language stating that termination does not bar the program participant from receiving assistance at a later date if the issue that caused the termination is resolved.</i> 	<input type="checkbox"/>
<p>13. If the program participant receives rental assistance or housing relocation and stabilization services, the Standards shall include an Exit Strategy which will assess housing needs of program participants who are nearing the end of assistance. Housing stability of program participants must continue after assistance ends, so the Standards should include an exit strategy that will ensure program participants remain housed for at least 6 months after program exit.</p>	<input type="checkbox"/>

I certify that the Written Standards developed for the Emergency Solutions Grant Program (ESG) follow guidelines reflected above, the regulations under 24 CFR Part 576. Enclosed is a copy of the Written Standards that will be used by all agency staff who will participate in the ESG program.

Printed Name of Agency Director

Date

Signature

EXHIBIT 5: NON-PROFIT STATUS

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
IRS NON_PROFIT DESIGNATION LETTER
BEHIND THIS SHEET**

EXHIBIT 6: MOST RECENT AUDITED FINANCIALS

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
MOST RECENT AUDITED FINANCIALS
BEHIND THIS SHEET**

EXHIBIT 7: MOST CURRENT FINANCIAL STATEMENT

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
MOST CURRENT FINANCIAL STATEMENT
BEHIND THIS SHEET**

**EXHIBIT 8: COPIES OF LAST FOUR (4) BOARD OF DIRECTORS MEETING
MINUTES**

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
LAST FOUR (4) BOARD OF DIRECTORS MEETING MINUTES
BEHIND THIS SHEET**

EXHIBIT 9: COPY OF ORGANIZATIONS BY-LAWS

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
COPY OF ORGANIZATIONS BY-LAWS
BEHIND THIS SHEET**

EXHIBIT 10: COPY OF ORGANIZATIONS ARTICLES OF INCORPORATION

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
COPY OF ORGANIZATIONS ARTICLES OF INCORPORATION
BEHIND THIS SHEET**

**EXHIBIT 11: PARTICIPATION IN CONTINUUM OF CARE, TEN YEAR PLAN TO
END HOMELESSNESS, HMIS DATA INFORMATION AND COORDINATED
ASSESSMENT SYSTEM**

Organization:

Project:

LOCAL CONTINUUM OF CARE PARTICIPATION

The level of agency participation at the local CoC and 10 Year Plan to End Homelessness committees, subcommittees, and/or working groups will be considered in the RFP evaluation process.

TEN YEAR PLAN TO END HOMELESSNESS, HMIS DATA INFORMATION AND COORDINATED ASSESSMENT SYSTEM PARTICIPATION

It is critical that programs in the Continuum of Care submit timely, complete, and accurate data to HMIS. To assist in CoC evaluation of performance measures on a program and systems-wide level.

2015 ANNUAL SHELTERED HOMELESS COUNT

1. If applicable, did your organization participate in the 2015 homeless count? Yes No
2. If applicable, did your organization submit the complete and accurate information requested for the homeless count by the deadline? Yes No

If no, why did your organization not meet the required deadline?

2015 ANNUAL HOUSING INVENTORY COUNT

1. If applicable, did your organization submit the complete and accurate information requested for the Housing Inventory Count by the deadline? Yes No

If no, why did your organization not meet the required deadline?

COORDINATED ENTRY SYSTEM PARTICIPATION

1. Does your organization participate and or commit to participating in the ongoing planning and implementation of Orange County Continuum's Coordinated Entry system?
 Yes No
2. Does your organization commit to change program rules and practices in accordance with Coordinated Assessment/Centralized Intake goals and objectives?
 Yes No

EXHIBIT 12: TERMS AND CONDITIONS

Agency Name:

Project Name:

The Orange County ESG Collaborative reserves the right to communicate with the Department of Housing and Urban Development (HUD), lenders, providers, cities, grantors and other participants associated with the RFP application to obtain additional clarification of design of projects, or organization fiscal and programmatic capacities, and to utilize this information in the evaluation process.

The Orange County ESG Collaborative reserves the right to reject any application received in response to this RFP if it is deemed inappropriate or incomplete or is not in the best interest of the County.

The Orange County ESG Collaborative makes no representation that any funding will be guaranteed to any applicant responding to this RFP.

An agency may not be recommended, if it has a history of past or current contract non-compliance with the Orange County ESG Collaborative, a termination for cause by any other funding source, or disallowed costs with the Orange County ESG Collaborative or any other funding source.

The Orange County ESG Collaborative the right to verify information submitted in the application. I hereby acknowledge that I have read and understood the terms and conditions above and agree to all of the terms.

Name, Title and Signature of Person who will complete the application:

Name/Title

Signature

Name and Signature of Person authorized to sign the HUD application:

Name/Title

Signature

EXHIBIT 13: HUD CERTIFICATIONS

FY 2016 COMPLIANCE CERTIFICATION

HUD requires grant recipients to certify to compliance with certain federal laws and requirements, and the Division requires grant recipients to certify to conflicts of interest. Please review the certifications below, complete blanks as needed, and have the authorized representative of your Board of Directors or unit of general local government sign in affirmation.

A. COMPLIANCE WITH DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned acknowledges and certifies that the employees to be engaged in the performance of this grant at the Place or Places of Performance, hereinafter defined, will comply with the Drug-Free Workplace Act of 1988. The agency also agrees to obtain signed certifications by each employee and new hire that certifies that the employee will comply with the Act, and the agency will maintain these certifications on file and make them available for review pursuant to the terms and conditions relative to record keeping and monitoring, as will be defined in the resolution governing any future grant awards.

Places of Performance (include street address, city and zip code for each site where services will be provided):

Function of Facility in Program Services	Street Address	City / Zip Code	Estimated No. of employees at site:
<i>Example: Shelter</i>	1000 A Street	<i>Mesquite, 89004</i>	<i>10</i>

B. COMPLIANCE WITH OTHER FEDERAL REQUIREMENTS

The undersigned acknowledges and certifies that the organization will comply with all applicable Federal requirements as reflected in 576.404, 576.406, 576.407 and 576.408 regarding the following: Conflict of Interest; Affirmative Outreach; Lobbying Requirements, Uniform Administrative Requirements; Procurement of Recovered Materials; Displacement, Relocation and Acquisition; and Relocation Assistance for Displaced Persons.

In addition the undersigned acknowledges and certifies that the organization prohibits discrimination in accordance with Title VI of the Civil Rights Act of 1964.

It is further certified that this organization has reviewed its projects, programs, and services for compliance with all applicable regulations contained in Section 504 of the Rehabilitation of 1973, as amended, and the Americans with Disabilities Act of 1990.

C. CONFIDENTIALITY REQUIREMENTS

The undersigned certifies that the organization will adopt policies and procedures which meet at least the minimum standards for protecting the confidentiality of information as set forth in the federal ESG requirements as reflected in 24 CFR part 576.500.

D. FAITH-BASED ORGANIZATION REQUIREMENTS

The undersigned certifies that the faith-based organization agrees with requirements of CPD Notice 04-10.

E. CERTIFICATION OF HOMELESS MANAGEMENT INFORMATION SYSTEMS (HMIS) PARTICIPATION REQUIREMENTS

The undersigned acknowledges and certifies that the organization will participate in the Congressionally mandated HMIS database system that has been implemented by the Orange County Continuum of Care.

It is further certified that this organization agrees to comply with Federal Register 4848-N-02, which states that recipients of McKinney-Vento HUD funds, including the ESG Program, must provide certain data on homeless clients served through a

centralized HMIS database. The organization understands that they will be contacted by the HMIS System Administrator to secure licenses, software and training for this database, and that costs associated with this requirement *may be* paid for by the them.

The undersigned also understands that although the Division has currently funded the HMIS provider directly and so costs associated with this requirement should be minimal, applicants should be prepared to participate at their own cost in order to meet this mandated requirement. (Note: Domestic violence shelters will not be required to participate in the Statewide HMIS but must agree to enter client data into a comparable database as required by 24 CFR part 576.)

F. DISCHARGE PLANNING

Local governments receiving ESG funds must make every effort to develop, to the maximum extent practicable and where appropriate, practices and protocols to insure that publicly funded institutions, such as health care facilities, foster care and other youth facilities, and jails/corrections programs located in the local government’s jurisdiction do not discharge persons to the streets or otherwise result in homelessness for this vulnerable population.

Applicant acknowledges and certifies that the agency will participate in efforts to implement and participate in community-wide discharge plans and will work with partners to develop discharge plans that are supported by executed Memorandums of Understanding between participating agencies.

G. PERFORMANCE STANDARDS

The undersigned acknowledges and certifies that programs and services funded through the ESG program will be designed to assist the local Continuum of Care (CoC) and the cities in meeting performance outcomes adopted by the CoC. The undersigned further understands that performance objectives, outcomes and measures will be used to demonstrate how activities funded with the ESG program are helping local continuum’s of care to meet their goals.

The undersigned also agrees to provide each funding agency and the local CoC copies of reports obtained from HMIS which will be used to determine whether or not the agency is meeting objectives, and will provide completed Annual Reports to their funding agency at the end of each program year.

H. CERTIFICATION OF SUBMISSION

The undersigned acknowledges and certifies that the Board of Directors of the applying organization (or the Board of Supervisors if the applicant is a unit of local government) endorses this Request for Emergency Solutions Grant Funds to be submitted to the Orange County ESG Collaborative for funding consideration for the fiscal year FY 2016.

The undersigned further certifies that the organization submitting this Request is: 1) a non-profit, faith-based organization, or unit of local government; 2) tax-exempt, if applicable; 3) incorporated in the State of California; and 4) has complied with all applicable laws and regulations pertaining to same;

The undersigned hereby commits the organization to provide the services or project identified in the Eligible Activities section in accordance with this Request for Emergency Solutions Grant Program Funds.

The undersigned commits that the organization will submit required reports and draw reimbursement requests within the timeframes provided by the each city once funds are awarded.

If this Request for Funds is approved, and this organization receives funding from the Orange County ESG Collaborative, it is agreed that all relevant federal, state and local regulations and other assurances as required by the Division will be adhered to. Additionally, it is agreed that all guidelines, definitions, and limitations set forth in the accompanying Program Guidelines will be adhered to at all times.

The undersigned further certifies that this Request for Funds and the information contained herein is true, correct and complete, and that the signer of this document is authorized to act on behalf of the agency.

Signed,

NAME (print full name)

SIGNATURE

FY 2016-2017 ESG Subrecipient Funding Application
Orange County ESG Collaborative

TITLE

NAME OF AGENCY

EXHIBIT 14: AFFIRMATIVE ACTION PLAN

**PLEASE PLACE A COPY OF YOUR ORGANIZATIONS
AFFIRMATIVE ACTION PLAN
BEHIND THIS SHEET**

EXHIBIT 15: ANAHEIM SPECIFIC FORMS/REQUIREMENTS

CITY OF ANAHEIM – ONLY
FY 2016-2017 EMERGENCY SOLUTIONS GRANT PROGRAM
CONTRACT REQUIREMENTS

- Possession of a City of Anaheim Business License

INSURANCE AND INDEMNIFICATION.

Insurance. Without limiting City's right to indemnification, it is agreed that Subrecipient shall secure prior to commencing any activities under this Agreement, and maintain during the Term of this Agreement.

Required Insurance Coverage. Subrecipient shall secure and maintain the following insurance coverage:

(a) Workers' Compensation Insurance as required by California statutes;

(b) Comprehensive General Liability Insurance, or Commercial General Liability Insurance, including coverage for Premises and Operations, Contractual Liability, Personal Injury Liability, Products/Completed Operations Liability, Broad-Form Property Damage, Independent Contractor's Liability and Fire Damage Legal Liability, in an amount of not less than One Million Dollars (\$1,000,000.00) per occurrence, combined single limit, written on an occurrence form; and

(c) Comprehensive Automobile Liability coverage, including - as applicable - owned, non-owned and hired autos, in an amount of not less than One Million Dollars (\$1,000,000.00) per occurrence, combined single limit, written on an occurrence form.

The City's Representative, with the consent of the City's Risk Manager, is hereby authorized to reduce the requirements set forth above in the event they determine that such reduction is in City's best interest.

Required Clauses in Policies. Each policy of general liability and automobile insurance required by this Agreement shall contain the following clauses:

“This insurance shall not be canceled or allowed to lapse without at least ten (10) days' prior written notice to the City Clerk of the City of Anaheim, 200 S. Anaheim Boulevard, Anaheim, CA 92805.”

“It is agreed that any insurance maintained by the City of Anaheim shall apply in excess of and not contribute with insurance provided by this policy.”

“The City of Anaheim, its officials, agents, employees, representative, and volunteers are added as additional insureds as respects operations and activities of, or on behalf of the named insured, performed under contract with the City of Anaheim.”

Vendor hereby agrees to waive subrogation which any insurer of the Vendor may acquire from the Vendor by virtue of the payment of any loss. Vendor agrees to obtain any endorsement that

may be necessary to effect this waiver of subrogation.

The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the vendor, its employees and subcontractors.

Required Certificates and Endorsements. Prior to commencement of any work under this Agreement, the Subrecipient shall deliver to City (i) insurance certificates confirming the existence of the insurance required by this Agreement, and including the applicable clauses referenced above and (ii) endorsements to the above-required policies, which add to these policies the applicable clauses referenced above. Such endorsements shall be signed by an authorized representative of the insurance company and shall include the signator's company affiliation and title. Should it be deemed necessary by City, it shall be the Subrecipient's responsibility to see that City receives documentation, acceptable to City, which sustains that the individual signing such endorsements is indeed authorized to do so by the insurance company. Also, City reserves the right at any time to demand, and to receive within a reasonable time period, certified copies of any insurance policies required under this Agreement, including endorsements effecting the coverage required by these specifications.

CITY OF ANAHEIM – ONLY

CONFLICT OF INTEREST QUESTIONNAIRE

Federal, state and city law prohibits employees and public officials of the City of Anaheim from participating in any transaction, on behalf of the City, in which they have a financial interest. In order to assure compliance with this requirement, this questionnaire must be completed and submitted by each applicant for Emergency Shelter Grant (ESG) funding. The purpose of this questionnaire is to determine if your agency staff or Board members perform functions or responsibilities that would be a conflict of interest with respect to the ESG program. If necessary, detailed explanations may be provided on separate sheets of paper.

1. Is/are there any member(s) of your staff, Board of Directors, or other governing body, who is currently, or has/have been within one year of the date of this questionnaire, a City of Anaheim employee or a member of a City board or commission that has a direct influence on the allocation of ESG funding?
Yes No

If yes, please list the following:

Name	Position	City/Department
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2. Will the ESG funds requested by the applicant be used to pay the salaries of any of applicant's staff person(s) who is/are, or has/have been within one year of the date of this questionnaire, employed by the City of Anaheim? Yes No

If yes, please list the name(s) below and identify the City Department in which each person is employed:
Name City/Department

3. Will the ESG funds requested by the applicant be used to pay the salaries of any of applicant's staff person(s) who is/are currently, or has/have been within one year of the date of this questionnaire, a member of a City of Anaheim board or commission that has a direct influence on the allocation of ESG funding? Yes No

If yes, please list the following:

Name: Year(s)

Name: Year(s)

Will the ESG funds, requested by the applicant, be used to award a contract or subcontract to any individual(s) or business affiliate(s) who is/are currently, or has/have been within one year of the date of this questionnaire, a City of Anaheim employee or a member of a City board or commission that has a direct influence on the allocation of ESG funding? Yes No

If yes, please list the name(s): Name:

The ESG funds used for reimbursement of rent shall not benefit any employee, agent, consultant, officer, elected official or appointed official of the subrecipient. This prohibition includes leases between an organization and a director, trustee, officer or key employee of the organization or his/her immediate family either directly or through corporations, trusts, or similar arrangements in which they hold a controlling interest.

Organization:

Date:

Signature:

Title:

EXHIBIT 16: GARDEN GROVE SPECIFIC FORMS/REQUIREMENTS

CITY OF GARDEN GROVE – ONLY
FY 2016-2017 EMERGENCY SOLUTIONS GRANT PROGRAM
APPLICATION CERTIFICATIONS

A. Service Provider Requirements

To be awarded funding, the service provider must:

1. Directly provide services to Garden Grove residents, including homeless persons who were last housed in Garden Grove;
2. Be able to reach out to and communicate with those who need your services who may have limited ability to speak English. The three most commonly used languages in Garden Grove are English, Spanish, and Vietnamese;
3. Be willing to work with other homeless prevention and intervention service providers assisting Garden Grove residents;
4. Ensure the confidentiality of records concerning program participants;
5. Maintain any building used for an emergency or transitional housing shelter in accordance with the host City government's safety and sanitation standards;
6. Operate any shelter housing children under the age of six (6) in a building that is safe from lead-based paint hazards;
7. Comply with all Garden Grove contract agreement requirements, including following restrictions on the use of federal funds, utilizing with the applicable OMB standard for financial management and audits, and submitting timely and complete invoices and quarterly reports describing program achievements and clientele demographics.

CITY OF GARDEN GROVE – ONLY

CONFLICT OF INTEREST QUESTIONNAIRE

Federal, state and city law prohibits employees and public officials of the City of Garden Grove from participating in any transaction, on behalf of the City, in which they have a financial interest. In order to assure compliance with this requirement, this questionnaire must be completed and submitted by each applicant for Emergency Shelter Grant (ESG) funding. The purpose of this questionnaire is to determine if your agency staff or Board members perform functions or responsibilities that would be a conflict of interest with respect to the ESG program. If necessary, detailed explanations may be provided on separate sheets of paper.

1. Is/are there any member(s) of your staff, Board of Directors, or other governing body, who is currently, or has/have been within one year of the date of this questionnaire, a City of Garden Grove employee or a member of a City board or commission that has a direct influence on the allocation of ESG funding?

Yes No

If yes, please list the following:

Name	Position	City/Department
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2. Will the ESG funds requested by the applicant be used to pay the salaries of any of applicant's staff person(s) who is/are, or has/have been within one year of the date of this questionnaire, employed by the City of Garden Grove? Yes No

If yes, please list the name(s) below and identify the City Department in which each person is employed:
Name City/Department

3. Will the ESG funds requested by the applicant be used to pay the salaries of any of applicant's staff person(s) who is/are currently, or has/have been within one year of the date of this questionnaire, a member of a City of Garden Grove board or commission that has a direct influence on the allocation of ESG funding? Yes No

If yes, please list the following:

Name: Year(s)

Name: Year(s)

Will the ESG funds, requested by the applicant, be used to award a contract or subcontract to any individual(s) or business affiliate(s) who is/are currently, or has/have been within one year of the date of this questionnaire, a City of Garden Grove employee or a member of a City board or commission that has a direct influence on the allocation of ESG funding? Yes No

If yes, please list the name(s): Name:

The ESG funds used for reimbursement of rent shall not benefit any employee, agent, consultant, officer, elected official or appointed official of the subrecipient. This prohibition includes leases between an organization and a director, trustee, officer or key employee of the organization or his/her immediate family either directly or through corporations, trusts, or similar arrangements in which they hold a controlling interest.

Organization :

Date :

Signature:

Title:

EXHIBIT 17: SANTA ANA SPECIFIC FORMS/REQUIREMENTS

CITY OF SANTA ANA – ONLY

CONFLICT OF INTEREST QUESTIONNAIRE

Federal, state and city law prohibits employees and public officials of the City of Santa Ana from participating in any transaction, on behalf of the City, in which they have a financial interest. In order to assure compliance with this requirement, this questionnaire must be completed and submitted by each applicant for Emergency Shelter Grant (ESG) funding. The purpose of this questionnaire is to determine if your agency staff or Board members perform functions or responsibilities that would be a conflict of interest with respect to the ESG program. If necessary, detailed explanations may be provided on separate sheets of paper.

1. Is/are there any member(s) of your staff, Board of Directors, or other governing body, who is currently, or has/have been within one year of the date of this questionnaire, a City of Santa Ana employee or a member of a City board or commission that has a direct influence on the allocation of ESG funding?
Yes No

If yes, please list the following:

Name	Position	City/Department
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2. Will the ESG funds requested by the applicant be used to pay the salaries of any of applicant's staff person(s) who is/are, or has/have been within one year of the date of this questionnaire, employed by the City of Santa Ana? Yes No

If yes, please list the name(s) below and identify the City Department in which each person is employed:
Name City/Department

3. Will the ESG funds requested by the applicant be used to pay the salaries of any of applicant's staff person(s) who is/are currently, or has/have been within one year of the date of this questionnaire, a member of a City of Santa Ana board or commission that has a direct influence on the allocation of ESG funding? Yes No

If yes, please list the following:

Name: Year(s)

Name: Year(s)

Will the ESG funds, requested by the applicant, be used to award a contract or subcontract to any individual(s) or business affiliate(s) who is/are currently, or has/have been within one year of the date of this questionnaire, a City of Santa Ana employee or a member of a City board or commission that has a direct influence on the allocation of ESG funding? Yes No

If yes, please list the name(s): Name:

The ESG funds used for reimbursement of rent shall not benefit any employee, agent, consultant, officer, elected official or appointed official of the subrecipient. This prohibition includes leases between an organization and a director, trustee, officer or key employee of the organization or his/her immediate family either directly or through corporations, trusts, or similar arrangements in which they hold a controlling interest.

Organization:

Date:

Signature:

Title:

FY 2016-2017 EMERGENCY SOLUTIONS GRANT
PROGRAM APPLICATION CERTIFICATION

SPECIAL NOTE: Applicants should be aware that if funds are awarded to organizations performing non-eligible activities, the City may modify the budget submitted.

Funds are to be used for Santa Ana residents. With the exception of Homeless Prevention, this must serve "at risk of homelessness". The other programs must serve "homeless" Santa Ana residents.

Organization Requirement

Only nonprofit organizations in good standing with the California Secretary of State and Attorney General will be eligible for ESG funding. All nonprofit applicants must be able to document 501(c)(3) status at the time of application. Applicants whose status is pending at the time of application will not be considered for funding.

Non-profit status will be checked by city staff with the following websites. The City recommends that organizations visit these sites to confirm their non-profit status so that any issues can be addressed prior to application submittal.

Secretary of State of California
<http://kepler.sos.ca.gov/list.html>

Internal Revenue Service
<http://www.irs.gov/app/pub-78/>

All applicants approved for ESG funding will be required to obtain a minimum of \$1,000,000 general liability insurance and Workers' Compensation insurance for all employees throughout the term of the contract. In addition, the City must be listed as additionally insured via an endorsement stating that it is primary and noncontributory. This requirement will also apply to those companies contracted or sub-contracted by the applicant.

Additional Requirements

The City has the discretion to limit funding of activities beyond those limitations placed by HUD.

Organizations may not use ESG funds for the purchase of capital assets or undergo capital improvements.

Each sub-grantee must match **dollar-for-dollar** the ESG funding provided with funds from other public or private sources. ESG funds provided from another source may not be used as matching funds for Santa Ana ESG awards.

This application will be available for public display; therefore do not include any information that is subject to state or federal confidentiality regulations for example, an address to a domestic violence shelter.

ESG is a reimbursement grant and reimbursements requests are allowed on a quarterly basis, therefore organizations must have enough working capital to continue services until a reimbursement request can be processed by the City.