

CITY OF WORCESTER, MA



CONSOLIDATED SUBMISSION FOR COMMUNITY PLANNING AND DEVELOPMENT (2015 – 2020)

THIRD YEAR ACTION PLAN (JULY 1ST, 2017 – JUNE 30TH, 2018)



*Prepared by:
City Manager's Executive Office of Economic Development*

Contents

.....	1
Executive Summary.....	3
AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)	3
PR-05 Lead & Responsible Agencies – 91.200(b).....	9
AP-10 Consultation – 91.100, 91.200(b), 91.215(l).....	10
AP-12 Participation – 91.105, 91.200(c)	31
Expected Resources	39
AP-15 Expected Resources – 91.220(c) (1, 2)	39
Annual Goals and Objectives	43
AP-20 Annual Goals and Objectives - 91.420, 91.220(c)(3)&(e)	43
AP-35 Projects – 91.220(d)	55
AP-38 Projects Summary.....	57
AP-50 Geographic Distribution – 91.220(f).....	77
Affordable Housing	81
AP-55 Affordable Housing – 91.220(g)	81
AP-60 Public Housing – 91.220(h).....	83
AP-65 Homeless and Other Special Needs Activities – 91.220(i).....	85
AP-70 HOPWA Goals – 91.220 (l)(3)	89
AP-75 Barriers to affordable housing – 91.220(j)	90
AP-85 Other Actions – 91.220(k)	92
Program Specific Requirements.....	95
AP-90 Program Specific Requirements – 91.220(l)(1,2,4)	95

Executive Summary

AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

1. Introduction

The U.S. Department of Housing and Urban Development (HUD) requires that entitlement cities prepare a Consolidated Plan (ConPlan) to receive federal housing and community development funding. The City of Worcester, MA Five-Year Consolidated Submission for Community Planning and Development (7/1/15 - 6/30/20) combines into one document the requirements of four federal programs administered by HUD - the Community Development Block Grant (CDBG), the Home Investment Partnerships Program (HOME), the Housing Opportunities for Persons With AIDS (HOPWA), and the Emergency Solutions Grant (ESG). The Consolidated Plan allows the City of Worcester to shape its housing and community development programs into coordinated strategies and helps inform progress toward community development. The City of Worcester must submit a full Consolidated Plan every five years; yearly action plans are required as presented herein in this City of Worcester, MA Third Year Action Plan (7/1/17 - 6/30/18).

While the City continues to make progress addressing community needs, it continues to face numerous existing and emerging needs and challenges. Updated analysis and research indicates the need for continued investment and effort around addressing affordable housing production and barriers to accessing affordable housing and trends related to aging housing stock and deferred maintenance. Particularly, supportive housing providers report a shortage of single room occupancy units that are below Fair Market Rent (FMR) and thus accessible to individuals below 30% AMI transitioning from shelter or transitional housing to permanent housing through ESG Rapid Rehousing or a Continuum of Care (CoC)-supported project. Consultation with citizens and service providers stressed a continued need for social and human services and housing supportive services for low- to moderate-income and special needs populations including youth, recent immigrants, resettled refugees, the elderly and homeless, individuals with substance abuse and mental health challenges, and those living with HIV/AIDS.

In anticipation of declining federal entitlement grant allocations and uncertainty of federal fiscal resources moving forward, continued strategic leveraging of private investments and community-based resources are needed. As needs and issues often overlap and concentrate in neighborhoods, there is a need for more strategic, concentrated, neighborhood-based collaborations with private and community resources and cross-departmental collaborations. This is a model that the City has been implementing going forward with an emphasis on place-based, neighborhood focused revitalization strategies as is currently underway in the Union Hill neighborhood and planned for the lower Pleasant Street corridor. A focused, block by block approach to addressing infrastructure, housing and community development needs is being implemented in these areas and proposed for other communities as part of this and any future plans that use federal entitlement grant funds.

2. Summarize the objectives and outcomes identified in the Plan

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

The Five-Year Consolidated Plan (2015-20) Goals are as follows:

1. Affordable Housing Development & Preservation
2. Healthy and Sustainable Housing
3. Neighborhood Stabilization & Revitalization
4. Economic Development & Business Assistance
5. Public Services for Low-Moderate Income Persons
6. Improvement and Preservation of Public Facilities
7. Expand Resources for Homelessness Preservation
8. Resolve Barriers to Housing for Homeless Persons
9. Housing Opportunities for Persons with HIV/AIDS

3. Evaluation of past performance

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

The targeting of HUD formula grant funds continues to be maximized towards serving low- and moderate-income persons. Through the first two years of the Five Year Consolidated Plan, it is projected that 92.0% of HUD formula funds expended by the City will be for activities that benefit persons of low- and moderate-income.

Overall for every \$1.00 in HUD Formula CDBG and HOME Funds expended, \$10.15 in other funds had been leveraged over the last three years.

A total of 634 affordable housing units were impacted through down payment assistance, new construction, and rehabilitation under HOME and CDBG funded housing programs during the last three years.

Efforts to affirmatively further fair housing were noteworthy given that minority households were the beneficiaries in 71% of rental and 63% of owner units that completed construction or rehabilitation during the last three years. Similarly 58% of homebuyers assisted through CDBG during the same period were minority households.

A total of 13 CDBG funded public service programs worth \$608,270 were contracted during 2016-2017 to provide services to 5,643 low- and moderate-income persons to address identified needs for health services, emergency food, counseling, education & training, youth recreation, food security, volunteer income tax assistance, case management & referrals, youth leadership, recreation and homework assistance.

CDBG funds help City of Worcester provide much needed public facility improvements. Over the past three years \$9.7 million in CDBG funds were utilized to improve 36 facilities including parks, the senior center, non-profit human service delivery sites, school buildings, fire stations, transitional housing facilities, as well as roads and sidewalks within communities where predominantly low- to moderate-income persons reside. These CDBG funded public facility projects leveraged an additional \$1.1 million in non-CDBG funds.

CDBG funds help to incentivize business creation, expansion, and enhancement through loans, grants, and technical assistance. In the past three years, the City has expended \$480,000 in CDBG to assist 20 businesses/properties that have generated 70 jobs for low- and moderate-income persons. This CDBG funded business assistance activity has generated \$1.5 million in other investments.

During 2016-2017, the city funded 7 programs through 5 HOPWA Eligible Metropolitan Statistical Area non-profits (4 in Worcester County and 1 in Windham County, CT), providing services and housing that will help over 125 individuals and families obtain and maintain stable housing.

During 2016-2017, the city funded 8 programs through 6 entities through the Emergency Solutions Grant (ESG) that will provide services, shelter, and sustenance to over 400 persons (both individuals or those within families), including veterans, youth, formerly incarcerated, those fleeing domestic violence, unsheltered homeless, and those exiting the Triage & Assessment Center for permanent housing.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

Beginning in 2014, the city of Worcester embarked on the development and implementation of a new Five (5) Year Consolidated Plan (2015-2020). In order to establish an updated baseline of community

needs for the Consolidated Plan, the city sponsored an extensive public outreach effort in 2014 and 2015, holding a series of eight (8) community needs assessment meetings in various neighborhoods throughout the city, with at least one in each of the city council districts. The meetings were attended by over 110 total participants. This neighborhood outreach was complimented by various individual and group consultations with numerous housing, human, and social service providers in the areas of homelessness, public housing, and services for special needs and low-income populations.

The Five (5) Year Consolidated Plan and the second year action plan (developed last year) helped to inform the current third year (2017-2018) annual action plan outreach/funding recommendation process. In addition, after the announcement of the availability of Request for Proposals (RFP) for third year action plan funding through CDBG, HOPWA, and ESG, a Community Needs Public Hearing was held in November 2016 at City Hall to review and assess updated needs information received through workshops and any additional community input.

The Community Development Advisory Committee (CDAC), has traditionally served as the formal citizen body that provides input on funding applications submitted as part of the city's CDBG RFP process. The CDAC is a citizen advisory committee comprised of ten members, with two from each of Worcester's five council districts. This year, the CDAC met seven times from October 2016 through February 2017 to review and evaluate the CDBG proposals and listen to presentations and ask questions of all of the Public Services, Public Facilities and Improvements, and City Interdepartmental applicants that submitted proposals in response to the RFP.

While the CDAC issues initial advisory recommendations on funding allocations, it is the city administration, through the city manager, that ultimately recommends which CDBG projects and activities to fund which form the basis of the annual action plan.

HOPWA proposals were vetted by the city administration together with the HOPWA Advisory Committee. This committee is composed of experts in community health and the HIV/AIDS field in Worcester County and Connecticut. The process was similar to CDAC in its review, including holding a public meeting to introduce the HOPWA process and guidelines, a technical assistance meeting for interested applicants, and a review and ranking session held in public at City Hall.

ESG proposals were vetted by an ESG RFP Review Committee that was comprised of members of the Worcester City and County Continuum of Care (CoC), and local funders of such social services such as the United Way. The ESG RFP Review Committee also followed a similar process to the CDAC in its review, including holding a public meeting to introduce the ESG process and guidelines, a technical assistance meeting for interested applicants, and an RFP review and ranking session at City Hall.

5. Summary of public comments

This could be a brief narrative summary or reference an attached document from the Citizen Participation section of the Con Plan.

In conformity with the latest HUD directive, the City of Worcester Draft Third Year Action Plan (7/1/16 – 6/30/17) is being made available for a 14-day public review and comment period from May 25, 2017 to June 8, 2017. A hardcopy of said Draft Third Year Annual Action Plan will be available at the City of Worcester, Executive Office of Economic Development (EOED), City Hall, 455 Main Street, 4th Floor, Room 404, Worcester, MA 01608 (open 8:30 AM - 5 PM, normal working days). An electronic copy will also be available at: <http://www.worcesterma.gov/e-services/document-center/neighborhood-development>. Persons wishing to submit comments regarding the City of Worcester Third Year Action Plan funding recommendations can submit them in writing by June 8, 2017 to the City of Worcester, Executive Office of Economic Development, City Hall, 455 Main Street, 4th Floor, Room 404, Worcester, MA 01608 or by email to development@worcesterma.gov.

A public hearing was also scheduled to be held 6:00 – 7:00 pm, Thursday, June 8, 2017 in City Hall Room 310B, 3rd Floor, City Hall, 455 Main Street, Worcester MA to discuss the Draft Annual Action Plan and respond to interested parties.

6. Summary of comments or views not accepted and the reasons for not accepting them

See section 5 above, the public review and comment period for this draft is currently open.

7. Summary

The City of Worcester continues to promote a robust citizen participation process to help establish and update baseline community needs and inform the Annual Action Plan update development process.

While the City of Worcester has made substantial progress in addressing community development over the last five years, it continues to face numerous existing and emerging needs and challenges. Activities to be funded through this Third Year Action Plan (7/1/17 – 6/30/18) will address the below goals that have been established for the City of Worcester 5-Year Consolidated Plan:

1. Affordable Housing Development & Preservation
2. Healthy and Sustainable Housing
3. Neighborhood Stabilization & Revitalization
4. Economic Development & Business Assistance

5. Public Services for Low-Moderate Income Persons
6. Improvement and Preservation of Public Facilities
7. Expand Resources for Homelessness Preservation
8. Resolve Barriers to Housing for Homeless Persons
9. Housing Opportunities for Persons with HIV/AIDS

PR-05 Lead & Responsible Agencies – 91.200(b)

1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
CDBG Administrator	WORCESTER	Office of Economic Development
HOPWA Administrator	WORCESTER	Office of Economic Development
HOME Administrator	WORCESTER	Office of Economic Development
ESG Administrator	WORCESTER	Office of Economic Development

Table 1 – Responsible Agencies

Narrative (optional)

The City Manager's Executive Office of Economic Development (EOED) is the lead administering agency for the City of Worcester, MA, Five-Year Consolidated Submission for Community Planning and Development (2015- 2020) and the Third Year Action Plan (7/1/17 - 6/30/18). EOED administers CDBG, HOME, HOPWA and ESG entitlement formula grants for the City of Worcester, MA.

Consolidated Plan Public Contact Information

Gregory J. Baker

Director of Neighborhood Development Division

Office of Economic Development

455 Main Street, 4th Floor

AP-10 Consultation – 91.100, 91.200(b), 91.215(l)

1. Introduction

Beginning in 2014, the city of Worcester embarked on the development and implementation of a new Five (5) Year Consolidated Plan (2015-2020). In order to establish an updated baseline of community needs for the Consolidated Plan, the city sponsored an extensive public outreach effort in 2014 and 2015, holding a series of eight (8) community needs assessment meetings in various neighborhoods throughout the city, with at least one in each of the city council districts. The meetings were attended by over 110 total participants. This neighborhood outreach was complimented by various individual and group consultations with numerous housing, human, and social service providers in the areas of homelessness, public housing, and services for special needs and low-income populations.

Organizations and community stakeholders representing various segments of the community were involved in the consultations including housing services & assisted housing for-profit and non-profit developers, the Worcester Housing Authority, children & youth services providers, elderly services, the city Elder Affairs Office, Worcester Senior Center, health services including the city Public Health Division's Community Health Improvement Plan Update. Ongoing consultations included collaboration with the Worcester County Continuum of Care, groups representing persons with disabilities including the City Office of Human Rights and Disabilities, consultations with service providers that work with persons with HIV/AIDS and their families, a focus group with providers and funders of basic needs and safety net services for low income people, homeless services providers including those that work with veterans and persons with special needs. Consultations with agencies and other governmental entities were conducted with the city departments/divisions of Public Health, Emergency Operations, Health and Inspectional Services, and Workforce Development, and publicly funded institutions and systems of care such as corrections facilities, medical providers and mental health institutions such as the Worcester County Sherriff's Office, UMass Memorial Medical Center, Community Healthlink, local detox centers, the Massachusetts Department of Mental Health, state and local health and child welfare agencies (crucial for the identification of housing units containing lead-poisoned children), ongoing collaboration with the Massachusetts Department of Public Health, and planning efforts with the Central MA Regional Planning Commission and the Central MA Workforce Investment Board.

The Five (5) Year Consolidated Plan and the second year action plan (developed last year) helped to inform the current third year (2017-2018) annual action plan outreach/funding recommendation process. In addition, after the announcement of the availability of Request for Proposals (RFP) for third year action plan funding through CDBG, HOPWA, and ESG, a Community Needs Public Hearing was held in November 2016 at City Hall to review and assess updated needs information received through workshops and any additional community input.

Provide a concise summary of the jurisdiction’s activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(I))

The Executive Office of Economic Development (EOED) works to foster strong relationships and enhance cooperation and coordination between public and private service and housing providers. Development of the Consolidated Plan benefitted from input from a broad range of stakeholders who contributed through interviews and focus groups, in addition to those who were represented at public meetings and hearings. Entities participating in the process included agencies and groups with expertise in areas such as housing, youth services, case management, mental health, education, employment assistance, basic needs, and health services. As a means of gaining input, individual and group consultations were held with providers of public and affordable housing, and services for homeless, special needs, and low-income populations.

Annually, EOED conducts funding overview and technical assistance workshops for parties interested in applying for HUD entitlement funds through CDBG, HOPWA, and ESG, the most recent being held on November 15, 2016. The workshops are designed to focus and facilitate discussion with interested parties in order to define the key social service issues and community needs in Worcester, to identify gaps in service, and to brainstorm potential strategies to address needs and gaps. The workshops were also designed to foster dialogue among agencies/departments to enhance collaboration and the sharing of information. Participating agencies and groups are contained in Table 2 of this section.

A number of plans and reports were consulted in preparation of the Five year Consolidated Plan, reflecting policies, needs or significant research. These are contained in Table 3 of this section.

The City of Worcester actively participates in ongoing efforts to enhance coordination with private industry, businesses, developers, and social service agencies in order to foster economic development. EOED, through the Business Assistance Division, plays a leadership role in the Worcester Business Resource Alliance (WBRA), a centralized network of business professionals, technical assistance providers, lenders, and community development organizations that collectively provide services to entrepreneurs and small business owners and managers. EOED also meets regularly with neighborhood business associations, and coordinates with the Worcester Regional Chamber of Commerce and Worcester Business Development Corporation. At the state level, EOED has strong partnerships with the Mass. Office of Business Development and MassDevelopment, as well as relationships with the Massachusetts Life Sciences Center and the Massachusetts Manufacturing Extension Partnership (MassMEP).

Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness.

Substantial consultation with Worcester area homeless service providers and clients has been a cornerstone of ongoing planning and efforts to address the unique needs of multiple priority subpopulations experiencing homelessness or at risk of becoming homeless. As part of the Consolidated Planning process referenced above, the City hosted a consultation workshop for homeless service providers to consider the evolution of Worcester's system in recent years, discuss current service access, and envision improvements to assist target populations. The workshop groups focused on three areas: 1) Access to Housing 2) Supportive Services 3) System Coordination. As a result of consultation efforts, coordination is ongoing related to these target populations: chronically and episodically homeless households with or without children, veterans, unaccompanied youth, and people living with HIV/AIDS, survivors of domestic violence, human trafficking and sexual exploitation.

Worcester remains dedicated to prioritizing the unaccompanied homeless youth population. Worcester was a regional leader in the implementation of the Point in Time Youth Count, conducting its first survey in 2009. Beginning in 2014, the Massachusetts Interagency Council on Housing and Homelessness (ICHH) now implements a state-wide survey on homeless youth ages 18-25 years via the local Continuum of Care Programs in the state. The MA ICHH Youth Point-in-Time survey was modeled after best practices in Worcester's efforts to understand the extent of risk factors associated with young adult housing instability in the city and region. The survey has helped the community gauge the extent of the problem and, in recent years, has garnered resources from the MA Executive Office of Health and Human Services to fund Youth Housing Demonstration Projects throughout the state.

The City of Worcester's role through the Executive Office of Economic Development (EOED) is to coordinate and monitor the system of housing and services for the homeless in Worcester, working closely with community and governmental stakeholders through the following efforts:

- The City partially funds and monitors the performance of Triage and Assessment, along with Diversion Services, for Homeless Individuals. This provides valuable information regarding housing and service system performance and enables consistent cooperation in quality improvement for service operations.
- The City continues to match funds for the Worcester County Homeless Management Information System (HMIS) that provides valuable data on the number and demographics of the homeless population, and service outcomes in partnership with the CoC Lead Agency: Central Mass Housing Alliance (CMHA).
- The City continues to compile, analyze, and act on program monitoring reports obtained from funding agencies for all homeless housing and service programs.
- The EOED works collaboratively with various municipal departments to enhance resources to address the multi-faceted issue of homelessness. These municipal players include the Department of Health and Human Services, Office of Emergency Operations, Inspectional Services Division, Workforce Development, Neighborhood Development, and the City Manager's Quality of Life Task Force.

Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

Area-wide planning and coordination efforts of the Worcester County Continuum of Care continues to bear fruit. The CoC facilitates on-going consultation and coordination with organizations that provide housing and supportive services for special needs populations including elderly persons, persons with disabilities, persons with HIV/AIDS and homeless persons. Since 1996, the Central Massachusetts Housing Alliance (CMHA) has been designated to lead the annual CoC planning Process and is supported by the rest of Worcester County by chief executives of the county's three entitlement cities (Worcester, Fitchburg, and Leominster).

A newly formed Continuum of Care board includes wide constituency based on HUD's 2012 Guidance on Establishing and Operating a Continuum of Care. Sub-committees within the Continuum operate accordingly related to Veterans services, HMIS and data management, and monitoring and outcome evaluation. The CoC facilitates a bi-weekly Coordinated Entry & Assessment working group meeting, during which CoC-funded providers in the region may communicate to streamline referrals to housing options for individuals with significant barriers to housing. Corrections facilities, medical providers and mental health institutions (Worcester County Sheriff's Office, UMass Memorial Medical Center, Community HealthLink, local detox centers and the Dept. of Mental Health) incorporate their discharge planning into the coordinated entry system with CoC partners as well. Evaluation of these working groups and subcommittees inform future funding, policies and outcome standards in serving homeless populations.

The CoC planning process is guided by two principals: an open & inclusive process with broad-based participation by citizens and stakeholders throughout the county; and, a comprehensive approach which develops, coordinates and integrates a system of care for homeless individuals and families, including major sub-populations such as the chronically homeless, mentally-ill, substance abusers, persons with HIV/AIDS, veterans, victims of domestic violence, children, adolescents, adults, and the elderly. Key features of the planning process include: active year-round planning, facilitating completion of planned activities; a committee structure that divides tasks among specialized groups, organized around participants' interests and expertise; work plans for the committees to ensure timely completion of necessary tasks; one vote per agency, encouraging broad participation and preventing dominance by any particular agency; a sub-regional process that helps ensure equitable treatment among geographic service areas; monitoring & evaluation of programs to ensure accountability and optimal service quality; and widespread dissemination of information about the planning process which facilitates maximum participation.

The CoC planning grant awarded to the CMHA has enabled the CoC Advisory Board and the City to consult with one another in determining how to allocate Emergency Solutions Grant (ESG) funds.

Members of the CoC board, diverse funding partners such as the United Way and direct homeless service providers contribute to recommendations for ESG funds, with knowledge of existing needs and resources in the community. In the past 5 years, ESG funds have been used for prevention, rapid-rehousing, street outreach and emergency shelter operations to serve major sub-populations represented in our community.

2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction's consultations with housing, social service agencies and other entities

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	CENTRAL MASSACHUSETTS HOUSING ALLIANCE, INC.
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Employment Service-Fair Housing Regional organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	CMHA is the lead agency for the annual Continuum of Care (CoC) planning process. This collaborative process involves ongoing consultations with the City and organizations that provide housing and support services for special needs populations including elderly persons, persons with disabilities, persons with HIV/AIDS and homeless persons. These consultations inform the needs assessment, strategic plan, and annual action plan updates.

2	Agency/Group/Organization	SMOC-GREATER WORCESTER HOUSING CONNECTION-AURORA PROGRAM
	Agency/Group/Organization Type	Services - Housing Services-Persons with Disabilities Services-homeless
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homelessness Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted on the extent of chronic homelessness and homelessness for people with disabilities. Outcomes include improved coordination of services for homeless households without children, chronically homeless, and improvement on Coordinated Assessment, Entry, and Housing Placement.
3	Agency/Group/Organization	L.U.K. Crisis Center, Inc.
	Agency/Group/Organization Type	Services - Housing Services-homeless Services-Health Services - Victims Regional organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homelessness Needs - Unaccompanied youth Homelessness Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted on the needs of unaccompanied youth for the Strategic Plan and Annual Action Plan updates. Anticipated outcomes include improved coordination with the Compass Network, a low-barrier access to service network for unaccompanied youth, and the incorporation of homeless youth needs in the scope of CoC work.

4	Agency/Group/Organization	COMMUNITY HEALTHLINK, INC.
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-homeless Services-Health Health Agency Regional organization
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs HOPWA Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Agency is a HOPWA subrecipient and major recipient of Continuum of Care grants. Consulted at workshop with service providers. Anticipated outcomes include increased coordination with the CoC for monitoring and evaluation, services for people with disabilities, basic homeless needs, and coordinated entry.
5	Agency/Group/Organization	Friendly House, Inc.
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-homeless Services-Education Services-Employment

	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Families with children Homelessness Needs - Unaccompanied youth Homelessness Strategy HOPWA Strategy Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Agency is a subrecipient of CDBG and HUD Continuum of Care funds. Consulted at workshop with service providers and during community input meetings. Anticipated outcomes include increased coordination for youth services and services for homeless families with children.
6	Agency/Group/Organization	Catholic Charities
	Agency/Group/Organization Type	Services-Children Services-Elderly Persons Services-Persons with Disabilities
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Families with children Non-Homeless Special Needs Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Ongoing coordination through the Continuum of Care and consulted at workshop with homeless service providers.

7	Agency/Group/Organization	AIDS Project Worcester
	Agency/Group/Organization Type	Housing Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-homeless Services-Health Services-Education Services-Employment Health Agency
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homelessness Strategy Non-Homeless Special Needs HOPWA Strategy Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	HOPWA subrecipient consulted at workshop with homeless service providers. Increased coordination for non-homeless special needs and the homeless strategy.
8	Agency/Group/Organization	AFRICAN COMMUNITY EDUCATION PROGRAM, INC.
	Agency/Group/Organization Type	Services-Children Services-Education
	What section of the Plan was addressed by Consultation?	Anti-poverty Strategy Non-Housing Community Development Needs

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	CDBG subrecipient consulted at Children and Youth Service Provider workshop and at the community needs assessment public hearings to provide input. The consultations support continued coordination and the inclusion of the organization's input in the Consolidated Plan and Annual Action Plans.
9	Agency/Group/Organization	Boys and Girls Club
	Agency/Group/Organization Type	Services-Children
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the workshop for service providers and the community needs public hearing helped inform the priority needs and goals of the Consolidated plan and the Annual Action Plans.
10	Agency/Group/Organization	Central MA Regional Planning Commission
	Agency/Group/Organization Type	Regional organization Planning organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Market Analysis
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	In-person consultation improves the coordination between the City of Worcester and the Central Massachusetts Regional Planning Commission.
11	Agency/Group/Organization	Central MA Workforce Investment Board
	Agency/Group/Organization Type	Services-Employment Regional organization
	What section of the Plan was addressed by Consultation?	Economic Development Anti-poverty Strategy

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Face-to-face meetings improve coordination for employment and job training opportunities in addition to economic development efforts.
12	Agency/Group/Organization	Centro Las Americas
	Agency/Group/Organization Type	Services-Children Services-Elderly Persons
	What section of the Plan was addressed by Consultation?	Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Subrecipient participation in the workshop for service providers and the community needs public hearing helped inform the priority needs and goals of the Consolidated Plan and the Annual Action Plans.
13	Agency/Group/Organization	Children's Friend
	Agency/Group/Organization Type	Services-Children
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the focus group for service providers helped inform the priority needs and the goals of the Consolidated Plan and the Annual Action Plans.
14	Agency/Group/Organization	City of Worcester Office of Elder Affairs
	Agency/Group/Organization Type	Services-Elderly Persons Other government - Local
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Non-Housing Community Development Needs

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Face-to-face consultation informed the Consolidated Plan and the Annual Action Plans by providing information related to the needs of elderly persons and fostering improved coordination.
15	Agency/Group/Organization	City of Worcester Office of Human Rights and Disabilities
	Agency/Group/Organization Type	Other government - Local
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Face-to-face meeting to discuss needs related to persons with disabilities. The discussion informed the priority needs and goals of the Consolidated Plan and the Annual Action Plans.
16	Agency/Group/Organization	City of Worcester Youth Opportunities Office
	Agency/Group/Organization Type	Services-Children Other government - Local
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the workshop for service providers anticipated to provide improved coordination around youth services including educational, recreational opportunities, and youth employment, and informs the priority needs and goals of the Consolidated Plan and the Annual Action Plans.
17	Agency/Group/Organization	Ethiopian Dream Center
	Agency/Group/Organization Type	Services-Health Services-Education Services-Employment
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the workshop for service providers and the community needs public hearings helped to inform the priority needs and goals of the Consolidated Plans and the Annual Action Plans.
18	Agency/Group/Organization	Family Services of Central MA
	Agency/Group/Organization Type	Services-Children Services-Victims of Domestic Violence
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The organization's participation in the community needs assessment public hearing helped inform the Needs Assessment portion of the Consolidated Plan.
19	Agency/Group/Organization	Girls Inc.
	Agency/Group/Organization Type	Services-Children
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the workshop for service providers helped inform the Needs Assessment and Strategic Plan sections of the Consolidated Plan.
20	Agency/Group/Organization	MAIN SOUTH COMMUNITY DEV CORP
	Agency/Group/Organization Type	Services - Housing Services-Education Services-Employment Neighborhood Organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Anti-poverty Strategy

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	In-person consultation facilitated continued coordination and helped to inform the Consolidated Plan and the Annual Action Plans.
21	Agency/Group/Organization	Massachusetts Department of Public Health
	Agency/Group/Organization Type	Other government - State
	What section of the Plan was addressed by Consultation?	Lead-based Paint Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	This collaboration ensures that statewide reporting for all children with Elevated Blood levels (EBLs) is managed collectively to catch each EBL prior to poisoned level occurring.
22	Agency/Group/Organization	OAK HILL COMMUNITY DEVELOPMENT CORPORATION
	Agency/Group/Organization Type	Services - Housing Neighborhood Organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The in-person consultation is anticipated to continue coordination and helped inform the Consolidated Plan and Annual Action Plans.
23	Agency/Group/Organization	Pernet Family Health Services
	Agency/Group/Organization Type	Services-Children Services-Health Neighborhood Organization
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The organization's participation in a workshop for service providers helped inform the Needs Assessment and Strategic Plan sections of the Consolidated Plan.
24	Agency/Group/Organization	Regional Environmental Council
	Agency/Group/Organization Type	Services - Nutrition, Urban Gardening, Youth Development
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The organization's participation in a workshop for service providers helped inform the Needs Assessment and Strategic Plan sections of the Consolidated Plan.
25	Agency/Group/Organization	SOUTHEAST ASIAN COALITION OF CENTRAL MA
	Agency/Group/Organization Type	Services-Children Services-Elderly Persons Services-Education Services-Employment
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the workshop for service providers and the community needs public hearing helped inform the priority needs and the goals of the Consolidated Plan and the Annual Action Plans.
26	Agency/Group/Organization	South Worcester Neighborhood Improvement Corporation
	Agency/Group/Organization Type	Services-Children Food Pantry
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The organization's participation helped inform the Needs Assessment and Strategic Plan sections of the Consolidated Plan.
27	Agency/Group/Organization	WORCESTER COMMON GROUND, INC.
	Agency/Group/Organization Type	Services - Housing Neighborhood Organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The in-person consultation is anticipated to continue coordination and helped to inform the Consolidated Plan and Annual Action Plans.
28	Agency/Group/Organization	Worcester Housing Authority
	Agency/Group/Organization Type	PHA
	What section of the Plan was addressed by Consultation?	Public Housing Needs Non-Homeless Special Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted recently completed 5-Year Agency Plan to establish Authority mission, priorities and planned investments in coming years. Face-to-face meeting to gather input concerning public housing needs, planned programs, and activities.
29	Agency/Group/Organization	Worcester Senior Center
	Agency/Group/Organization Type	Services-Elderly Persons Other government - Local
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The face-to-face meeting and ongoing collaboration provides critical input for meeting the needs of elderly persons.
30	Agency/Group/Organization	City of Worcester Public Health Division
	Agency/Group/Organization Type	Services-Health Other government - County
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Non-Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Ongoing collaboration through the Worcester Lead Abatement Program guides the lead-based paint strategy. Additionally, EOED staff attended the Greater Worcester Regional Community Health Improvement Plan (CHIP) Update public meeting. The CHIP informs the priority needs and goals of the Consolidated Plan and the Annual Action Plans.
31	Agency/Group/Organization	WORCESTER COMMUNITY ACTION COUNCIL
	Agency/Group/Organization Type	Other government - Local Regional organization Anti-Poverty Agency
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The organization's participation in a workshop for service providers helped inform the Needs Assessment and Strategic Plan sections of the Consolidated Plan.
32	Agency/Group/Organization	WORCESTER EAST SIDE CDC
	Agency/Group/Organization Type	Services - Housing Community Development Corporation

	What section of the Plan was addressed by Consultation?	Housing Need Assessment
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The in-person consultation is anticipated to continue coordination and inform the Consolidated Plan and the Annual Action Plans.
33	Agency/Group/Organization	Y.O.U. Inc.
	Agency/Group/Organization Type	Services-Children Services-Health Services-Education
	What section of the Plan was addressed by Consultation?	Non-Housing Community Development Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Participation in the community needs public hearing helped inform the priority needs and goals of the Consolidated Plan and the Annual Action Plans.

Identify any Agency Types not consulted and provide rationale for not consulting

The City of Worcester developed its Consolidated Plan and Annual Action Plans as a result of extensive consultation with housing, social and health service providers, local and regional agencies, and the Worcester Housing Authority. The City has consulted with all of agencies known to be relevant to the Consolidated Plan.

Other local/regional/state/federal planning efforts considered when preparing the Plan

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Central MA Housing Alliance	The Continuum of Care Action Plan is an integral part of the City's efforts to address homelessness, including expanding resources for homeless prevention, resolving barriers to housing for homeless persons, and participating in a coordinated entry system.
Worcester Housing Authority 5-Year and Annual Plan	Worcester Housing Authority	The Worcester Housing Authority is responsible for providing decent, safe, and sanitary housing for very low- to moderate-income households, which overlaps with the Strategic Plan goals related to affordable housing and providing access to public housing.
Draft ADA Self-Evaluation (2014)	City of Worcester	The goals of the Strategic Plan include public facility improvements that address the large number of aging buildings and other facilities that pose barriers to residents with disabilities.
CMWIB Strategic Plan FY 2015 to 2017	Central Massachusetts Workforce Investment Board	The goals of the Strategic Plan in the Consolidated Plan overlap with the CMWIB goals related to building the skills of the workforce and fostering economic development
Greater Worcester Region CHIP	Central MA Regional Public Health Alliance	The goals of the Strategic Plan align with the Greater Worcester Region Community Health Improvement Plan (CHIP) in order to improve upon the services provided to residents and to strengthen the public health system.
Housing Market Study (2012)	City of Worcester	This report helps guide the Strategic Plan goals related to affordable housing development and preservation as well as healthy and sustainable housing.
Analysis of Impediments to Affordable Housing 2012	City of Worcester	This report helps guide the Strategic Plan goals related to affordable housing development and preservation.
HOPWA Needs Analysis (2011)	City of Worcester	This report informed the HOPWA Annual Action Plans.

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Union Hill Neighborhood Revitalization Action Plan	City of Worcester and Worcester Business Development Corporation	The Union Hill Neighborhood Revitalization Action Plan (2014) guides revitalization efforts in the Union Hill neighborhood, a geographic priority area identified in the Strategic Plan.

Table 3 – Other local / regional / federal planning efforts

Narrative (optional)

The City of Worcester consulted and will continue to coordinate with the Central MA Workforce Investment Board and the Central MA Regional Planning Commission with regard to needs that go beyond the local jurisdiction, such as workforce development, transportation, and regional housing planning issues. Additionally, the City has a history of participation in state-wide efforts to eliminate childhood lead poisoning and has taken a lead role in the local coordination among critical agencies. The EOED collaborates with the MA Department of Public Health and the Worcester Department of Public Health, and is also actively involved with the Worcester Green and Healthy Homes Coalition (WGHC), a joint effort of public and private agencies, grassroots organizations, and concerned citizens committed to eliminating home health hazards, promoting energy efficiency, and improving health and quality of life in Worcester. Additionally, the EOED is enhancing collaboration with Worcester's Department of Public Health and Worcester Public Schools to provide in-home interventions for school age children that have direct health issues related to housing.

The City of Worcester Draft Third Year Action Plan (7/1/16 – 6/30/17) is being made available for a 14-day public review and comment period from May 25, 2017 to June 8, 2017. The draft plan was made public through the City of Worcester's website, and therefore was visible to the State, regional agencies, and adjacent units of general local government.

AP-12 Participation – 91.105, 91.200(c)

1. Summary of citizen participation process/Efforts made to broaden citizen participation Summarize citizen participation process and how it impacted goal-setting

Beginning in 2014, the city of Worcester embarked on the development and implementation of a new Five (5) Year Consolidated Plan (2015-2020). In order to establish an updated baseline of community needs for the Consolidated Plan, the city sponsored an extensive public outreach effort in 2014 and 2015, holding a series of eight (8) community needs assessment meetings in various neighborhoods throughout the city, with at least one in each of the city council districts. The meetings were attended by over 110 total participants. This neighborhood outreach was complimented by various individual and group consultations with numerous housing, human, and social service providers in the areas of homelessness, public housing, and services for special needs and low-income populations.

The Five (5) Year Consolidated Plan and the second year action plan (developed last year) helped to inform the current third year (2017-2018) annual action plan outreach/funding recommendation process. In addition, after the announcement of the availability of Request for Proposals (RFP) for third year action plan funding through CDBG, HOPWA, and ESG, a Community Needs Public Hearing was held in November 2016 at City Hall to review and assess updated needs information received through workshops and any additional community input.

The Community Development Advisory Committee (CDAC), has traditionally served as the formal citizen body that provides input on funding applications submitted as part of the city's CDBG RFP process. The CDAC is a citizen advisory committee comprised of ten members, with two from each of Worcester's five council districts. This year, the CDAC met seven times from October 2016 through February 2017 to review and evaluate the CDBG proposals and listen to presentations and ask questions of all of the Public Services, Public Facilities and Improvements, and City Interdepartmental applicants that submitted proposals in response to the RFP.

While the CDAC issues initial advisory recommendations on funding allocations, it is the city administration, through the city manager, that ultimately recommends which CDBG projects and activities to fund which form the basis of the annual action plan.

HOPWA proposals were vetted by the city administration together with the HOPWA Advisory Committee. This committee is composed of experts in community health and the HIV/AIDS field in Worcester County and Connecticut. The process was similar to CDAC in its review,

including holding a public meeting to introduce the HOPWA process and guidelines, a technical assistance meeting for interested applicants, and a review and ranking session held in public at City Hall.

ESG proposals were vetted by an ESG RFP Review Committee that was comprised of members of the Worcester City and County Continuum of Care (CoC), and local funders of such social services such as the United Way. The ESG RFP Review Committee also followed a similar process to the CDAC in its review, including holding a public meeting to introduce the ESG process and guidelines, a technical assistance meeting for interested applicants, and an RFP review and ranking session at City Hall.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non-targeted/broad community	1st Community Development Advisory Committee (CDAC) meeting 10/19/16. Attendance: 6 CDAC, 3 city staff.	Overview of CDAC roles and responsibilities, review proposed RFP process, schedule, draft documents.	All comments were received.	http://ec4.cc/jb52cc2

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
2	Newspaper ad, other media, direct correspondence	Non-English Speaking - Specify other language: Spanish Non-targeted/broad community	10/26/16 Bilingual ad & city web posting: Request for Proposals available for CDBG, HOPWA, ESG for programs to be funded 7/1/17 - 6/30/18; public hearing on community needs to be held 11/9/16; funding overview and technical assistance workshop to be held 11/15/16.	n/a	n/a	http://www.worcesterma.gov/e-services/document-center/neighborhood-development
3	Public Hearing	Non-English Speaking - Specify other language: Spanish Non-targeted/broad community	Public Hearing #1 11/9/16. Attendance: 17 public; 4 city staff.	Allow public input on and discuss 5-Year Conplan priorities and inform 3rd Year Action Plan recommendation process.	All comments were received	http://www.worcesterma.gov/e-services/document-center/neighborhood-development

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
4	Public Meeting	Non-targeted/broad community	Technical assistance workshop 11/15/16. Attendance: 22 public (21 potential applicant agencies represented), 6 city staff.	Provide information on HUD programs and RFP applications for potential applicants.	All comments and questions were entertained.	http://www.worcesterma.gov/e-services/document-center/neighborhood-development
5	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non-targeted/broad community	2nd Community Development Advisory Committee (CDAC) meeting 12/14/16. Attendance: 7 CDAC, 3 city staff..	Distribution of Year 43 CDBG applications, review scoring / ranking systems, prepare for mandatory CDBG presentation session.	All comments and questions were entertained.	http://ec4.cc/vf3657d5

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
6	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non-targeted/broad community	RFP Applicant Presentations at 3rd Community Development Advisory Committee (CDAC) meeting 1/11/17. Attendance: 53 public (25 applicants with 33 project proposals), 9 CDAC, 4 city staff.	Receive a presentation from RFP applicants to better evaluate RFPs.	CDAC allowed to ask questions of the RFP presenters (restricted by specified, per-applicant time limits).	http://ec4.cc/ag33b974 http://ec4.cc/ag7ecec7
7	Public Meeting	Non-targeted/broad community	HOPWA Advisory Committee meetings. Attendance: HOPWA Committee comprised of experts in community health and HIV/AIDS field in Worcester County and Connecticut, city staff.	Review HOPWA process, guidelines, technical assistance for interested applicants, public review and ranking of RFPs.	All comments and questions were received.	http://www.worcesterma.gov/e-services/document-center/housing-development

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
8	Public Meeting	Non-targeted/broad community	ESG RFP Review Committee meetings. Attendance: Representatives from Worcester City and County Continuum of Care (COC) and local social services funders, city staff.	Review ESG process, guidelines, technical assistance for interested applicants, public review and ranking of RFPs.	All comments and questions were received.	http://www.worcesterma.gov/e-services/document-center/housing-development
9	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non-targeted/broad community	4th Community Development Advisory Committee (CDAC) meeting 1/18/17. Attendance: 7 CDAC, 3 city staff.	Review and discussion of City FY 18 / Yr. 43 CDBG RFPs for Public Services applicant organizations starting with letter A thru F only.	All comments were received.	http://ec4.cc/age23539

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
10	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non-targeted/broad community	5th Community Development Advisory Committee (CDAC) meeting 1/25/17. Attendance: 6 CDAC, 3 city staff.	Review and discussion of City FY 18 / Yr. 43 CDBG RFPs for Public Services applicant organizations starting with letter O thru Y only.	All comments were received.	http://ec4.cc/ag45ce33
11	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non-targeted/broad community	6th Community Development Advisory Committee (CDAC) meeting 2/1/17. Attendance: 7 CDAC, 3 city staff.	Review and discussion of City FY 18 / Yr. 43 CDBG RFPs for Public Facilities and Interdepartmental projects/programs.	All comments were received.	http://ec4.cc/bg683bd9

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
12	Public Meeting Filmed for City Gov't Access Channel TV rebroadcasts	Non- targeted/broad community	7th Community Development Advisory Committee (CDAC) meeting 2/8/17. Attendance: 6 CDAC, 3 city staff.	Review of CDACs cumulative CDBG RFP evaluation scores for Year 43. Discussion of key elements of CDAC draft letter to City Manager regarding Year 43 CDBG RFP recommendations.	All comments were received.	http://ec4.cc/bg39fffd

Table 4 – Citizen Participation Outreach

Expected Resources

AP-15 Expected Resources – 91.220(c) (1, 2)

Introduction

The following is the anticipated resources the City is expected to receive from CDBG, HOME, HOPWA, and ESG programs. CDBG funds will be used for housing, public improvements, and public service activities. It is projected the CDBG funds will decrease by 3% from year two of the Action Plan. The HOME program is mainly used for new housing unit production. It is anticipated that the program will be level funded this year. The HOPWA program is anticipated to be level funded from last years level. This program is used for case management and rental assistance for people living with HIV/AIDS. The Emergency Solutions Grant is expected to be reduced by 2% year over year. ESG funds are used primarily for homeless prevention and reducing barriers to housing for the homeless population.

Priority Table

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	3,933,062	0	0	3,933,062	7,099,176	Projection of a 3.0% reduction year over year.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	1,081,962	0	0	1,081,962	1,952,941	Projection of level funding for next year.
HOPWA	public - federal	Permanent housing in facilities Permanent housing placement Short term or transitional housing facilities STRMU Supportive services TBRA	454,988	0	0	454,988	909,976	Projection of level funding for next 3 years.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	356,242	0	30,000	386,242	705,360	Projection of a 2.0% reduction year over year.

Table 5 - Expected Resources – Priority Table

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

Federal funds will be used to leverage other public and private resources in the housing, public facilities, public services, and economic development areas. Matching fund requirements, along with the needed documentation, are specified in the subrecipient agreements. Matching funds include non-federal cash sources, infrastructure, appraised land/real property, and site preparation, construction materials, and donated labor. The City and its program partners will seek funds from the following sources to support the goals identified in this ConPlan: Project-based Section 8 certificates through the Worcester Housing Authority, Low-income housing tax credits, project financing at favorable interest rates from the MassHousing and local lenders, and private contributions to subrecipients.

The City of Worcester will continue to identify funding from the Massachusetts Rental Voucher Program, operated by the Dept. of Housing and Community Development, as a source of additional match. In order to meet its ESG match requirements, the City of Worcester requires all ESG subrecipients to demonstrate a 100% match using other eligible federal, state, local, or private resources.

If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

The Non-Housing Community Development Needs Analysis in the 5-Year Consolidated Plan provides a description of the needs associated with publicly owned land and property. The City of Worcester owns over 4.5 million square feet of buildings and facilities that either directly service residents, or exist to house activities that service residents. Many of these buildings and facilities may be used to address needs identified in the Conplan, yet many of the facilities are also in need of improvements due to old age, deferred maintenance, and heavy use.

In an effort to address public facilities improvement goals contained in the 2015-2020 Consolidated Plan, \$385,000 in Third Year Action Plan CDBG funds have been allocated to the City Manager Office to work with the Office of Economic Development to improve streets, sidewalks, sewers, and other forms of eligible public infrastructure that benefit low-and moderate-income persons and communities. Likewise, through the Neighborhood Development Fund, \$309,997 in CDBG funds have been allocated during the Third Year Action Plan to complement recently finalized streetscape, road repaving and sidewalk improvements in Union Hill completed during the last year, as well as other neighborhood improvement efforts such as is being proposed for the Pleasant Street neighborhood, in tandem with other city departments and public and private partners.

Discussion

Overall the projected trend is a 2-5% reduction of Federal Funds in the remaining three years of the five year Conplan in order to address identified priority needs.

Annual Goals and Objectives

AP-20 Annual Goals and Objectives - 91.420, 91.220(c)(3)&(e)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Affordable Housing Development & Preservation	2015	2019	Affordable Housing	Union Hill Target Area Low-Moderate Income Census Tracts	Assistance for first time homebuyers Development of new affordable housing Development of new mixed-income housing Housing maintenance services Housing repair services Rehabilitation of existing housing stock	CDBG: \$1,220,000 HOME: \$973,766	Rental units constructed: 4 Household Housing Unit Rental units rehabilitated: 33 Household Housing Unit Homeowner Housing Added: 1 Household Housing Unit Homeowner Housing Rehabilitated: 15 Household Housing Unit Direct Financial Assistance to Homebuyers: 9 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
2	Healthy and Sustainable Housing	2014	2019	Non-Housing Community Development	Low-Moderate Income Census Tracts	Demolition of blighted properties Environmental preservation Home energy efficiency improvements Housing contaminant and pest abatement Housing inspections and code enforcement Systematic housing inspections Weatherization of homes	CDBG: \$150,000	Buildings Demolished: 3 Buildings Housing Code Enforcement/Foreclosed Property Care: 352 Household Housing Unit

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
3	Neighborhood Stabilization & Revitalization	2015	2019	Non-Housing Community Development	Union Hill Target Area Low-Moderate Income Census Tracts	Assistance for first time homebuyers Demolition of blighted properties Development of new affordable housing Development of new mixed-income housing Elimination of area and spot blight Housing contaminant and pest abatement Housing inspections and code enforcement Housing maintenance services Housing repair services (cont.)	CDBG: \$387,496	Public service activities other than Low/Moderate Income Housing Benefit: 4925 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
3 (cont.)						Improvement of existing public infrastructure Infill development Neighborhood public safety improvements New streets and sidewalks Rehabilitation of existing housing stock Revitalization of neighborhoods Small business and storefront improvements Small business assistance Systematic housing inspections		

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
4	Economic Development & Business Assistance	2015	2019	Non-Housing Community Development	Low-Moderate Income Census Tracts	Attraction and retention of new businesses Economic development loans and capital Job and employment opportunities Job and skills training Recreational and community facilities Small business and storefront improvements Small business assistance Technical assistance to small businesses	CDBG: \$1	Businesses assisted: 1 Businesses Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
5	Public Services for Low-Moderate Income Persons	2015	2019	Non-Homeless Special Needs Non-Housing Community Development	Low-Moderate Income Census Tracts	Case management services Food access and security Health services Information and referral to public services Information and services for new immigrants Transportation and access to public services Youth educational and recreational programs	CDBG: \$737,449	Public service activities other than Low/Moderate Income Housing Benefit: 5385 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Improvements and Preservation of Public Facilities	2015	2019	Non-Housing Community Development	Low-Moderate Income Census Tracts	Accessibility improvements for public facilities Energy improvements for public facilities Improvement of existing public infrastructure Improving public facilities for public services New streets and sidewalks	CDBG: \$1,438,117	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 12540 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
7	Expanded Resources for Homeless Prevention	2015	2019	Homeless	Low-Moderate Income Census Tracts	Access to public housing Case management services Discharge planning Housing search and advocacy Housing security and eviction prevention Housing stabilization funds Information and referral to public services Mental health and substance abuse services Services for disabled or special needs population	ESG: \$47,263	Homeless Person Overnight Shelter: 80 Persons Assisted Homelessness Prevention: 180 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
8	Resolve Barriers to Housing for Homeless Persons	2015	2019	Homeless	Low-Moderate Income Census Tracts	Access to public housing Case management services Coordinated entry system Housing search and advocacy Housing stabilization funds Information and referral to public services Mental health and substance abuse services Rapid re-housing rental assistance Services for disabled or special needs population	ESG: \$279,261	Tenant-based rental assistance / Rapid Rehousing: 110 Households Assisted Homeless Person Overnight Shelter: 320 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
9	Housing Opportunities for Persons with HIV/AIDS	2015	2019	Homeless Non-Homeless Special Needs	Low- Moderate Income Census Tracts	Case management services Housing search and advocacy Housing security and eviction prevention Rapid re-housing rental assistance Transportation and access to public services	HOPWA: \$454,988	Homelessness Prevention: 120 Persons Assisted Housing for People with HIV/AIDS added: 13 Household Housing Unit HIV/AIDS Housing Operations: 20 Household Housing Unit

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Affordable Housing Development & Preservation
	Goal Description	The affordable housing development & preservation goal includes the development of new and mixed use affordable housing, rehabilitation of existing housing stock, maintenance & repair services, and assistance to first time homebuyers.
2	Goal Name	Healthy and Sustainable Housing
	Goal Description	The healthy and sustainable housing goal includes environmental preservation, weatherization & energy efficiency improvements, housing inspections & code enforcements, systematic housing inspections, and contaminant and pest abatement.

3	Goal Name	Neighborhood Stabilization & Revitalization
	Goal Description	The neighborhood stabilization & revitalization goal includes the development of new affordable housing, development of new mixed-income housing, rehabilitation of existing housing stock, housing maintenance services, housing repair services, assistance for first-time homebuyers, systematic housing inspections, housing contaminant and pest abatement, housing inspections and code enforcement, demolition of blighted properties, elimination of area and spot blight, infill development, new streets and sidewalks, improvement of existing public infrastructure, small business assistance, small business and storefront improvements, revitalization of neighborhoods, and neighborhood public safety improvements.
4	Goal Name	Economic Development & Business Assistance
	Goal Description	The economic development & business assistance goal includes small business assistance, job and employment opportunities, attraction and retention of new businesses, job and skills training, recreational and community facilities, economic development loans, and capital, small businesses and storefront improvements, and technical assistance to small businesses.
5	Goal Name	Public Services for Low-Moderate Income Persons
	Goal Description	The public services for low-moderate income persons goal includes housing maintenance services, environmental preservation, youth educational and recreational programs, neighborhood public safety improvements, information and referral to public services, health services, youth employment opportunities, food access and security, housing security and eviction prevention, senior and elderly services, services for disabled or special needs population, information and services for new immigrants, transportation and access to public services, and substance abuse services.
6	Goal Name	Improvements and Preservation of Public Facilities
	Goal Description	The improvements and preservation of public facilities goal includes new streets and sidewalks, improvement of existing public infrastructure, improving public facilities for public services, improving public facilities serving public safety, energy improvements for public facilities, and accessibility improvements for public facilities.

7	Goal Name	Expanded Resources for Homeless Prevention
	Goal Description	Ensure sufficient resources are available for helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly 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, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.
8	Goal Name	Resolve Barriers to Housing for Homeless Persons
	Goal Description	This goal is designed to help homeless persons, especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth, make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness and facilitating access for homeless individuals and families to affordable housing units.
9	Goal Name	Housing Opportunities for Persons with HIV/AIDS
	Goal Description	Using City of Worcester HOPWA funds, community-based organizations offer housing resources to PLWHA, including short-term rent, mortgage, and utility assistance payments, rental assistance, and supportive services to address varying needs and barriers to stable housing: Recognizing that being stably housed plays a critical role in ensuring that individuals living with HIV live healthy and productive lives, this goal ensures that housing assistance and supportive services are available to low-income people living with HIV/AIDS (PLWHA) in the areas of Worcester County and Northeastern Connecticut in order to avoid homelessness, or obtain stable housing.

Table 7 – Goal Descriptions

Estimate the number of extremely low-income, low-income, and moderate-income families to whom the jurisdiction will provide affordable housing as defined by HOME 91.215(b):

The City of Worcester will assist 33 rental units and 15 owner units with meeting housing quality standards. 9 FTHB 4 Rental Units 1 Home Owner Units 229 rental assistance.

AP-35 Projects – 91.220(d)

Introduction

The City of Worcester is creating 16 projects to address the goals identified in year 3 (7/1/17 - 6/30/18) of the Action Plan. These 16 projects will address the relevant goals that they are meeting and identify the sources of funds to be used.

#	Project Name
1	PUBLIC SERVICES
2	NEIGHBORHOOD DEVELOPMENT FUND
3	PUBLIC FACILITIES FUND
4	AFFORDABLE HOUSING PROGRAMS
5	ECONOMIC DEVELOPMENT
6	CODE ENFORCEMENT
7	DEBT SERVICE
8	HOPWA17 AIDS PROJECT WORCESTER
9	HOPWA17 COMMUNITY HEALTHLINK
10	HOPWA17 MONTACHUSETT OPPORTUNITY COUNCIL
11	HOPWA17 CT PERCEPTION PROGRAMS
12	HOPWA17 GRANTEE ADMIN
13	HESG17 - WORCESTER
14	CDBG PLANNING & ADMINISTRATION
15	HOME ADMIN
16	TBRA (TENANT BASED RENTAL ASSISTANCE)

Table 8 – Project Information

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

Challenges to meeting underserved needs in the coming year stem primarily from increasing demand for program activities combined with decreasing amounts of funding. In order to maximize efficiency and achieve a greater impact, the City proposes the following actions:

- Annually, EOED conducts funding overview and technical assistance workshops for parties interested in applying for HUD entitlement funds through CDBG, HOPWA, and ESG, (usually planned for November). The workshops are designed to focus and facilitate discussion with interested parties in order to define the key social service issues and community needs in Worcester, to identify gaps in service, and to brainstorm potential strategies to address needs and gaps. The workshops were also designed to foster dialogue among agencies/departments to enhance collaboration and the sharing of information.
- Continue to work to improving access to services by persons with limited English proficiency in

order to reach underserved populations. According to recent U.S. Census American Community Survey data, 18 percent of the Worcester population speaks a language other than English and speaks English less than “very well.” It is therefore important to ensure that critical programs and services address language and cultural barriers that isolate households and impede successful utilization of community resources. This proposed action includes developing a Language Assistance Plan for HUD Entitlement Programs.

AP-38 Projects Summary

Project Summary Information

Table 9 – Project Summary

1	Project Name	PUBLIC SERVICES
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Public Services for Low-Moderate Income Persons
	Needs Addressed	Youth educational and recreational programs Information and referral to public services Health services Food access and security Information and services for new immigrants Transportation and access to public services Case management services
	Funding	CDBG: \$589,959
	Description	Public Services activities other than Low/Moderate Income Housing Benefit.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	It is projected that 5,385 persons will be served by public service activities during the third year action plan (7/17 - 6/18). It is estimated that 83% (or approx. 4,470) will be persons from families/households, with the remaining 17% being individual adults. Among families/households to be served it is estimated that 93% (approx. 5,008) will be of extremely low income (0-30% Median Household Income), 6% (approx. 323) will be of very low income (31-50% Median Household Income), and 1% (approx.54) will be of low income (51-80% Median Household Income).

	Location Description	Service site addresses (all City of Worcester, MA): AFRICAN COMMUNITY EDUCATION (ACE), 24 Chatham St., 01609; CENTRO LAS AMERICAS, 11 Sycamore St., 01608 and 174 Tacoma St. 01605; FAMILY HEALTH CENTER OF WORCESTER, 26 Queen St., 01610; FRIENDLY HOUSE, 36 Wall St., 01604, 16 Greenwood St., 01607, 16 Laurel St., 01608; RACHEL'S TABLE, 1050 Main St., 01603; SOUTH WORCESTER NEIGHBORHOOD CENTER, 47 Camp St., 01603, 50 Canton St., 01610, 41 Upland Gardens Dr., 01607; UNITED WAY OF CENTRAL MASS, 484 Main St., 01608; WORCESTER COMMUNITY ACTION COUNCIL, 484 Main St., 01608; WORCESTER HOUSING AUTHORITY, 40 Belmont St., 01605.
	Planned Activities	AFRICAN COMMUNITY EDUCATION (ACE) - After School Program; CENTRO LAS AMERICAS - Case Management, Emergency Food Pantry; FAMILY HEALTH CENTER OF WORCESTER - Emergency Dental Services; FRIENDLY HOUSE - Case Management, Quinsigamond Village Services, Youth Services; RACHEL'S TABLE - Children's Milk Fund; SOUTH WORCESTER NEIGHBORHOOD CENTER - Emergency Food Pantry/Case Management, Youth Recreation; UNITED WAY OF CENTRAL MASS. - YouthConnect Summer Program; WORCESTER COMMUNITY ACTION COUNCIL - Volunteer Income Tax Assistance; WORCESTER HOUSING AUTHORITY – Transporting Elders to the Senior Center.
2	Project Name	NEIGHBORHOOD DEVELOPMENT FUND
	Target Area	Union Hill Target Area Low-Moderate Income Census Tracts
	Goals Supported	Neighborhood Stabilization & Revitalization

Needs Addressed	Development of new affordable housing Development of new mixed-income housing Rehabilitation of existing housing stock Housing maintenance services Housing repair services Assistance for first time homebuyers Systematic housing inspections Housing contaminant and pest abatement Elimination of area and spot blight Infill development New streets and sidewalks Small business assistance Recreational and community facilities Economic development loans and capital Small business and storefront improvements Technical assistance to small businesses Revitalization of neighborhoods Neighborhood public safety improvements
Funding	CDBG: \$309,997
Description	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit.
Target Date	6/30/2018

<p>Estimate the number and type of families that will benefit from the proposed activities</p>	<p>CDBG funds allocated to the Neighborhood Development Fund during this Third Year Action Plan may target the Union Hill neighborhood (which encompasses all of U.S. Census Tract 7324.00). This neighborhood has among the city's highest levels of poverty, crime, problems with idle youth including gangs and drugs, foreclosed properties, absentee property ownership, vacant/boarded-up buildings, empty lots, and other economic distress factors. 72.9% of Union Hill's population is of low/moderate income (compared with 54.4% citywide). Since 2014, the neighborhood has been the focus of a targeted strategy across multiple City departments working in tandem with local stakeholders, institutions, public and private partners and concerned citizens to improve the quality of life in the area. Among the neighborhood's households, 76.9% (1,693) contain two or more members, while 66.4% (1,462) are families (defined by U.S. Census as having 2 or more members related by birth, marriage, or adoption).</p> <p>In addition to Union Hill, other public facilities improvements funded through the Third Year Action Plan may target the Pleasant Street neighborhood and other city census tracts in which more than 51.0% of the population is of low/moderate income. The City of Worcester is comprised of 44 U.S. Census Tracts of which 23 tracts had 51.0% or more of their populations being persons of low- and moderate-income (defined by HUD as households whose incomes were 80% or less of the metropolitan area median income as adjusted for family size). The Pleasant Street tract (7315.00) has a low/moderate income population of 92.4% - the highest of any City census tract.</p>
---	---

	<p>Location Description</p>	<p>CDBG funds allocated to the Neighborhood Development Fund during this Third Year Action Plan may be targeted to the Union Hill neighborhood (which encompasses all of U.S. Census Tract 7324.00). This neighborhood has among the city's highest levels of poverty, crime, problems with idle youth including gangs and drugs, foreclosed properties, absentee property ownership, vacant/boarded-up buildings, empty lots, and other economic distress factors. Since 2014, the neighborhood has been the focus of a targeted strategy across multiple City departments working in tandem with local stakeholders, institutions, public and private partners and concerned citizens to improve the quality of life in the area.</p> <p>In addition to Union Hill, other public facilities improvements funded through the Third Year Action Plan may target the Pleasant Street neighborhood (census tract 7315.00) and other city census tracts in which more than 51.0% of the population was of low/moderate income. The City of Worcester is comprised of 44 U.S. Census tracts of which 23 tracts had 51.0% or more of their populations being persons of low- and moderate-income (defined by HUD as households whose incomes were 80% or less of the metropolitan area median income as adjusted for family size). These 23 tracts are: 7304.01, 7311.01, 7311.02, 7312.03, 7312.04, 7313.00, 7314.00, 7315.00, 7316.00, 7317.00, 7318.00, 7319.00, 7320.01, 7320.02, 7322.03, 7323.02, 7324.00, 7325.00, 7326.00, 7327.00, 7329.01, 7330.00, and 7331.02.</p>
	<p>Planned Activities</p>	<p>CDBG funds have been allocated to the Neighborhood Development Fund during this Third Year Action Plan will be used to coordinate strategic improvement of neighborhoods, such as recent efforts to revitalize the Union Hill neighborhood. In tandem with other City departments, the Neighborhood Development Division anticipates continued utilization of CDBG funds to provide neighborhood infrastructure improvements. These improvements can include road resurfacing, new sidewalks, pedestrian and safety improvements, and street trees in CDBG eligible neighborhoods, particularly, over the coming year, within the Pleasant Street neighborhood in tandem with other city departments and public and private partners.</p>
<p>3</p>	<p>Project Name</p>	<p>PUBLIC FACILITIES FUND</p>
	<p>Target Area</p>	<p>Union Hill Target Area Low-Moderate Income Census Tracts</p>
	<p>Goals Supported</p>	<p>Improvements and Preservation of Public Facilities</p>

Needs Addressed	<p>New streets and sidewalks</p> <p>Improvement of existing public infrastructure</p> <p>Improving public facilities for public services</p> <p>Improving public facilities serving public safety</p> <p>Energy improvements for public facilities</p> <p>Accessibility improvements for public facilities</p>
Funding	CDBG: \$1,150,494
Description	Public Facilities Improvements other than Low/Moderate Income Housing Benefit.
Target Date	6/30/2018
Estimate the number and type of families that will benefit from the proposed activities	<p>Beneficiaries to be served through 4 public facilities improvement projects to be funded through CDBG during the Third Year Action plan are: The BOYS AND GIRLS CLUB (HVAC upgrade) – annually serves 6,000 low- and moderate-income youth ages 5-18; FRIENDLY HOUSE (Install gymnasium HVAC) – annually serves 500 unduplicated low- and moderate-income youth under age 18; WORCESTER SENIOR CENTER (Phase III energy efficiency & parking lot improvements) – annually serves 3,000 elders; and construction of CANTERBURY PARK AND PLAYGROUND on an inner city, long vacant lot – 3,020 low- and moderate-income population within the targeted census tract. It is estimated that 95.7% of the persons benefitting from these 4 projects will be of low- and moderate income. In an effort to address public facilities improvement goals contained in the 2015-2020 Consolidated Plan, \$385,000 in Third Year Action Plan CDBG funds have been allocated to the City Manager Office to work with the Office of Economic Development to improve streets, sidewalks, sewers, and other forms of eligible public infrastructure that benefit low-and moderate-income persons and communities.</p>

	Location Description	City of Worcester locations of the 4 public facilities improvement projects to be funded through CDBG during the Third Year Action plan are: THE BOYS AND GIRLS CLUB, 65 Tainter St, 01610 (Census tract 7313.00); FRIENDLY HOUSE, 36 Wall St., 01604 (Census Tract 7322.03); the WORCESTER SENIOR CENTER, 128 Providence St., 01604 (Census Tract 7327.00); and the CANTERBURY PARK AND PLAYGROUND, located on Canterbury St., 01603 (Census Tract 7330.00). In addition, \$385,000 in Third Year Action Plan CDBG funds have been allocated to the City Manager Office to work with the Office of Economic Development to improve streets, sidewalks, sewers, and other forms of eligible public infrastructure that benefit low-and moderate-income persons and communities.
	Planned Activities	Planned activities to be funded through 4 public facilities improvement projects under CDBG during the Third Year Action plan are: The BOYS AND GIRLS CLUB - HVAC upgrade, FRIENDLY HOUSE - Install gymnasium HVAC, the WORCESTER SENIOR CENTER - Phase III energy efficiency & parking lot improvements, and construction of CANTERBURY PARK AND PLAYGROUND on a vacant, inner city lot. In an effort to address public facilities improvement goals contained in the 2015-2020 Consolidated Plan, \$385,000 in Third Year Action Plan CDBG funds have been allocated to the City Manager Office to work with the Office of Economic Development to improve streets, sidewalks, sewers, and other forms of eligible public infrastructure that benefit low-and moderate-income persons and communities.
4	Project Name	AFFORDABLE HOUSING PROGRAMS
	Target Area	Union Hill Target Area Low-Moderate Income Census Tracts
	Goals Supported	Affordable Housing Development & Preservation
	Needs Addressed	Development of new affordable housing Development of new mixed-income housing Rehabilitation of existing housing stock Housing maintenance services Housing repair services Assistance for first time homebuyers Infill development

	Funding	CDBG: \$976,000 HOME: \$973,765
	Description	Affordable Housing Programs have the objective of creating decent affordable housing for Low-Moderate Families and individuals.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	It is estimated that at least 62 Low-Moderate income families will benefit from the activities being proposed.
	Location Description	Locations where most activities will take place will be in the Low-Moderate Income Census Tracts in the City and Union Hill Target Area.
	Planned Activities	The Affordable Housing Programs include the development of new and mixed use affordable housing, rehabilitation of existing housing stock, maintenance & repair services, and assistance to first time homebuyers.
5	Project Name	ECONOMIC DEVELOPMENT
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Economic Development & Business Assistance
	Needs Addressed	Small business assistance Job and employment opportunities Attraction and retention of new businesses Job and skills training Recreational and community facilities Economic development loans and capital Small business and storefront improvements Technical assistance to small businesses
	Funding	:

	Description	Economic Development and Business Assistance.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
6	Project Name	CODE ENFORCEMENT
	Target Area	Union Hill Target Area Low-Moderate Income Census Tracts
	Goals Supported	Healthy and Sustainable Housing
	Needs Addressed	Systematic housing inspections Housing contaminant and pest abatement Housing inspections and code enforcement Home energy efficiency improvements Weatherization of homes Environmental preservation
	Funding	CDBG: \$120,000
	Description	The Systematic Housing Inspections Program is expected to arrest neighborhood decline and deterioration by proactively identifying and inspecting for code violations in neighborhoods and by undertaking activities to demolish hazardous buildings in order to stabilize immediate area, and to eliminate specific conditions of blight or physical decay on a spot basis throughout the City of Worcester.
	Target Date	6/30/2018

	Estimate the number and type of families that will benefit from the proposed activities	It is estimated that 352 units of housing will be inspected benefitting up to that amount of families with the proposed activity. At least 3 families in the surrounding areas to the projects sites will benefit from this activity.
	Location Description	The Systematic Housing Inspections Program will take place will be in a Low-Moderate area's of the City. Previous locations included Union Hill and Main South areas. Demolition activities can occur throughout the City.
	Planned Activities	
7	Project Name	DEBT SERVICE
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Affordable Housing Development & Preservation
	Needs Addressed	Development of new affordable housing
	Funding	:
	Description	Repayment of part of debt service for HUD Section 108 Loan granted for Gardner-Kilby-Hammond (GKH) Initiative.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
8	Project Name	HOPWA17 AIDS PROJECT WORCESTER
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Housing Opportunities for Persons with HIV/AIDS

	Needs Addressed	Housing security and eviction prevention Transportation and access to public services Case management services Housing search and advocacy Rapid re-housing rental assistance Housing stabilization funds
	Funding	HOPWA: \$181,779
	Description	AIDS Project Worcester uses HOPWA funds to continue its Housing Services Program for people living with HIV/AIDS (PLWHA) in Central MA, through homelessness prevention and rental start up assistance.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	66 households with at least one member living with HIV/AIDS
	Location Description	City of Worcester Eligible Metropolitan Statistical Area (EMSA)
	Planned Activities	The program consists of four components: 1) Short-term rent, mortgage, and utility assistance (STRMU); 2) Permanent Housing Placement, providing payments for the first and last months' rent for eligible clients; 3) Tenant-Based Rental Assistance and 4) Housing Case Management.
9	Project Name	HOPWA17 COMMUNITY HEALTHLINK
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Housing Opportunities for Persons with HIV/AIDS
	Needs Addressed	Transportation and access to public services Mental health and substance abuse services Case management services Housing search and advocacy
	Funding	HOPWA: \$92,999

	Description	Community Healthlink, Inc. is a non-profit organization that provides housing supportive services to people living with HIV/AIDS.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	20 households with at least one family member living with HIV/AIDS.
	Location Description	City of Worcester Eligible Metropolitan Statistical Area (EMSA)
	Planned Activities	Housing Supportive Services within Permanent Supportive Housing programs assist tenants in maintaining permanent housing; maintaining their use of community resources and benefits; and achieve short term goals towards self-sufficiency.
10	Project Name	HOPWA17 MONTACHUSETT OPPORTUNITY COUNCIL
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Housing Opportunities for Persons with HIV/AIDS
	Needs Addressed	Housing security and eviction prevention Transportation and access to public services Case management services Housing search and advocacy Rapid re-housing rental assistance
	Funding	HOPWA: \$92,778
	Description	Montachusett Opportunity Council operates a permanent housing program serving chronically homeless individuals living with HIV/AIDS and their family members in North Worcester County
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	7 chronically homeless individuals living with HIV/AIDS and their family members.

	Location Description	City of Worcester Eligible Metropolitan Statistical Area (EMSA).
	Planned Activities	Funding for Rental Assistance and Supportive Services for the Housing First Supportive Housing program, a scattered site 7-unit permanent housing program in North Worcester County.
11	Project Name	HOPWA17 CT PERCEPTION PROGRAMS
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Housing Opportunities for Persons with HIV/AIDS
	Needs Addressed	Transportation and access to public services Case management services Housing search and advocacy Rapid re-housing rental assistance
	Funding	HOPWA: \$74,180
	Description	Funding for Supportive Services and Permanent Housing Placement, providing payments for the first and last months' rent for eligible clients.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	60 individuals living with HIV/AIDS (6 with start-up assistance).
	Location Description	Located in Willimantic, Connecticut within the City of Worcester Eligible Metropolitan Statistical Area (EMSA).
	Planned Activities	HOPWA supportive services assess and facilitate positive life skills for individuals to create Individualized Service Plans that include employment, alternative income sources, access to affordable housing, and housing retention skills. HOPWA operating costs facilitate maintenance of the Summit House vehicle to transport clients to and from medical and employment appointments. HOPWA permanent housing placement offers financial assistance in the form of rental start-up support to residents who are transitioning to independent living.

12	Project Name	HOPWA17 GRANTEE ADMIN
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Housing Opportunities for Persons with HIV/AIDS
	Needs Addressed	Housing security and eviction prevention Transportation and access to public services Case management services Housing search and advocacy Rapid re-housing rental assistance
	Funding	HOPWA: \$13,252
	Description	City of Worcester Administration of the HOPWA grant program
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	The total households expected to benefit from HOPWA services under the Year 3 Action Plan is 108 households.
	Location Description	City of Worcester Eligible Metropolitan Statistical Area (EMSA).
	Planned Activities	Financial Management and Program Oversight of HOPWA activities: <ul style="list-style-type: none"> • Housing Supportive Services • Tenant-Based Rental Assistance • Short-Term Rent, Mortgage, and Utility Assistance • Permanent Housing Placement • Housing Facility Operations
13	Project Name	HESG17 - WORCESTER
	Target Area	Low-Moderate Income Census Tracts

Goals Supported	Expanded Resources for Homeless Prevention Resolve Barriers to Housing for Homeless Persons
Needs Addressed	Information and referral to public services Housing security and eviction prevention Services for disabled or special needs population Mental health and substance abuse services Access to public housing Case management services Coordinated entry system Discharge planning Housing search and advocacy Rapid re-housing rental assistance Housing stabilization funds
Funding	ESG: \$386,242
Description	Emergency Solutions Grant Program supports City-wide strategies to address the housing needs of homeless and at-risk households in the City of Worcester.
Target Date	6/30/2018
Estimate the number and type of families that will benefit from the proposed activities	Approximately 500 homeless and at-risk households (individual and family).
Location Description	City of Worcester
Planned Activities	Street Outreach Emergency Shelter Rapid Re-Housing HMIS

14	Project Name	CDBG PLANNING & ADMINISTRATION
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Affordable Housing Development & Preservation Healthy and Sustainable Housing Neighborhood Stabilization & Revitalization Economic Development & Business Assistance Public Services for Low-Moderate Income Persons Improvements and Preservation of Public Facilities

	<p>Needs Addressed</p>	<ul style="list-style-type: none"> Development of new affordable housing Development of new mixed-income housing Rehabilitation of existing housing stock Housing maintenance services Housing repair services Assistance for first time homebuyers Systematic housing inspections Housing contaminant and pest abatement Housing inspections and code enforcement Home energy efficiency improvements Weatherization of homes Environmental preservation Demolition of blighted properties Elimination of area and spot blight Infill development New streets and sidewalks Improvement of existing public infrastructure Small business assistance Job and employment opportunities Attraction and retention of new businesses Job and skills training Recreational and community facilities Economic development loans and capital Small business and storefront improvements Technical assistance to small businesses Improving public facilities for public services Revitalization of neighborhoods Improving public facilities serving public safety Energy improvements for public facilities
--	-------------------------------	--

	Needs Addressed (Cont.)	Accessibility improvements for public facilities Youth educational and recreational programs Neighborhood public safety improvements Information and referral to public services Health services Youth employment opportunities Food access and security Housing security and eviction prevention Senior and elderly services Services for disabled or special needs population Information and services for new immigrants Transportation and access to public services
	Funding	CDBG: \$786,612
	Description	
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
15	Project Name	HOME ADMIN
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Affordable Housing Development & Preservation

	Needs Addressed	Development of new affordable housing Development of new mixed-income housing Rehabilitation of existing housing stock Housing maintenance services Housing repair services Infill development
	Funding	HOME: \$108,196
	Description	FFY17 HOME Admin funding for salaries & fringe and indirect expenses.
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Rental Assistance of up to 12 months for each household
16	Project Name	TBRA (TENANT BASED RENTAL ASSISTANCE)
	Target Area	Low-Moderate Income Census Tracts
	Goals Supported	Affordable Housing Development & Preservation
	Needs Addressed	Housing stabilization funds
	Funding	HOME: \$1
	Description	HOME Tenant-Based Rental Assistance Program
	Target Date	6/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	At least 60 homeless households

	Location Description	City of Worcester
	Planned Activities	Rental Assistance of up to 24 months for each household

AP-50 Geographic Distribution – 91.220(f)

Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed

The City of Worcester is comprised of 44 U.S. Census tracts, of which 23 tracts had 51.0% or more of their populations being persons of Low-Moderate Income (LMI) - defined by HUD as households whose incomes were 80% or less of the metropolitan area median income as adjusted for family size. These 23 LMI tracts are: 7304.01, 7311.01, 7311.02, 7312.03, 7312.04, 7313.00, 7314.00, 7315.00, 7316.00, 7317.00, 7318.00, 7319.00, 7320.01, 7320.02, 7322.03, 7323.02, 7324.00, 7325.00, 7326.00, 7327.00, 7329.01, 7330.00 and 7331.02 (see attached 2010 Low Income Population City of Worcester Map for locations). An examination of the attached Demographic Analysis of Target Areas Tables show that these 23 LMI tracts has a greater proportion of the city's racial and ethnic minority populations. According to the 2010 U.S. Census, the citywide percentages by racial and ethnic populations were: 59.6% White, non-Hispanic, 20.9% Hispanic, 10.2% Black/African American, non-Hispanic, 6.0% Asian, non-Hispanic, 2.3% multi-race, non-Hispanic, 0.7% all other single races. In comparison within these 23 tracts with majority Low-Moderate Income populations, the 2010 census reported the following percentages by racial and ethnic populations: 45.9% White, non-Hispanic, 31.3% Hispanic, 12.1% Black/African American, non-Hispanic, 6.8% Asian, non-Hispanic, 2.6% multi-race, non-Hispanic, 1.1% all other single races.

One of these tracts, 7324.00, was ranked as the city's most distressed and the sixth most distressed in the State with high levels of poverty, crime, problems with idle youth including gangs and drugs, foreclosed properties, absentee property ownership, vacant/boarded-up buildings, empty lots and other economic distress factors. This tract (7324.00) is the focus of the Union Hill Neighborhood Revitalization Initiative which continues to work across multiple City departments in concert with key community institutions and stakeholders to improve the quality of life in that area.

In addition to Union Hill, other public facilities improvements funded through the Third Year Action Plan may target the Pleasant Street neighborhood and other city census tracts in which more than 51.0% of the population is of low/moderate income. The Pleasant Street tract (7315.00) has a low/moderate income population of 92.4% - the highest of any City census tract.

The city's focus on targeted, strategic neighborhood development and revitalization is exemplified by the targeting of allocations to programs that serve Low-Moderate Income census tracts particularly the Union Hill neighborhood (a HUD "slum and blight" designated area). Overall 95% non-administrative, Third Year Annual Action Plan (7/1/17 – 6/30/18) funds are targeted to activities located or that serve the above reported 23 LMI Census Tracts, while 21% of allocated funds will directly serve the Union Hill Target Area.

Geographic Distribution

Target Area	Percentage of Funds
Union Hill Target Area	21
Low-Moderate Income Census Tracts	95

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

Beginning in 2014, the city of Worcester embarked on the development and implementation of a new Five (5) Year Consolidated Plan (2015-2020). In order to establish an updated baseline of community needs for the Consolidated Plan, the city sponsored an extensive public outreach effort in 2014 and 2015, holding a series of eight (8) community needs assessment meetings in various neighborhoods throughout the city, with at least one in each of the city council districts. The meetings were attended by over 110 total participants. This neighborhood outreach was complimented by various individual and group consultations with numerous housing, human, and social service providers in the areas of homelessness, public housing, and services for special needs and low-income populations.

The Five (5) Year Consolidated Plan and the second year action plan (developed last year) helped to inform the current third year (2017-2018) annual action plan outreach/funding recommendation process. In addition, after the announcement of the availability of Request for Proposals (RFP) for third year action plan funding through CDBG, HOPWA, and ESG, a Community Needs Public Hearing was held in November 2016 at City Hall to review and assess updated needs information received through workshops and any additional community input.

The Community Development Advisory Committee (CDAC), has traditionally served as the formal citizen body that provides input on funding applications submitted as part of the city's CDBG RFP process. The CDAC is a citizen advisory committee comprised of ten members, with two from each of Worcester's five council districts. This year, the CDAC met seven times from October 2016 through February 2017 to review and evaluate the CDBG proposals and listen to presentations and ask questions of all of the Public Services, Public Facilities and Improvements, and City Interdepartmental applicants that submitted proposals in response to the RFP.

While the CDAC issues initial advisory recommendations on funding allocations, it is the city administration, through the city manager, that ultimately recommends which CDBG projects and activities to fund which form the basis of the annual action plan.

HOPWA proposals were vetted by the city administration together with the HOPWA Advisory Committee. This committee is composed of experts in community health and the HIV/AIDS field in Worcester County and Connecticut. The process was similar to CDAC in its review, including holding a public meeting to introduce the HOPWA process and guidelines, a technical assistance meeting for interested applicants, and a review and ranking session held in public at City Hall.

ESG proposals were vetted by an ESG RFP Review Committee that was comprised of members of the

Worcester City and County Continuum of Care (CoC), and local funders of such social services such as the United Way. The ESG RFP Review Committee also followed a similar process to the CDAC in its review, including holding a public meeting to introduce the ESG process and guidelines, a technical assistance meeting for interested applicants, and an RFP review and ranking session at City Hall.

Discussion

As discussed above, 95% non-administrative, Third Year Annual Action Plan (7/1/17 – 6/30/18) funds are targeted to activities located or that serve the above reported 23 LMI Census Tracts, while 21% of allocated funds will directly serve the Union Hill Target Area.

In an effort to address public facilities improvement goals contained in the 2015-2020 Consolidated Plan, \$385,000 in Third Year Action Plan CDBG funds have been allocated to the City Manager Office to work with the Office of Economic Development to improve streets, sidewalks, sewers, and other forms of eligible public infrastructure that benefit low-and moderate-income persons and communities. Likewise, through the Neighborhood Development Fund, \$309,997 in CDBG funds have been allocated during the Third Year Action Plan to complement recently finalized streetscape, road repaving and sidewalk improvements in Union Hill completed during the last year, as well as other neighborhood improvement efforts in tandem with other city departments and public and private partners.

All CDBG funded public service activities operate out of facilities that are located within and have the vast majority of the clients that they serve come from the Low-Moderate Income Census Tracts.

Beneficiaries to be served through 4 public facilities improvement projects to be funded through CDBG during the Third Year Action plan are: The Boys and Girls Club (HVAC upgrade) – annually serves 6,000 low- and moderate-income youth ages 5-18; Friendly House (Install gymnasium HVAC) – annually serves 500 unduplicated low- and moderate-income youth under age 18; Worcester Senior Center (Phase III energy efficiency & parking lot improvements) – annually serves 3,000 elders; and construction of Canterbury Park and Playground on an inner city lot – 3,020 low- and moderate-income population within the targeted census tract. It is estimated that 95.7% of the persons benefitting from these 4 projects will be of Low- and moderate income.

CDBG funded economic development activities will be used for façade improvement and microloan programs that support small business growth and aesthetic improvements to key corridors in distressed areas and retain existing jobs and create new jobs.

During 2017-2018, the city will fund 6 programs through 4 HOPWA Eligible Metropolitan Statistical Area non-profits (3 in Worcester County and 1 in Windham County, CT), providing services and housing that will help nearly 100 individuals and families obtain and maintain stable housing.

During 2017-2018, the city will fund 7 programs through 5 non-profits utilizing Emergency Solutions Grant (ESG) funds that will provide services to over 500 individuals and families, including veterans,

youth, formerly incarcerated, those fleeing domestic violence, unsheltered homeless, and those exiting the Triage & Assessment Center for permanent housing.

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

The City of Worcester will directly support households with rental assistance, production of new units, rehabilitation of existing units, and acquisition of existing units through the following goals:

- Goal 1 Affordable Housing Development & Preservation,
- Goal 8 Resolve Barriers to Housing for Homeless Persons, and
- Goal 9 Housing Opportunities for Persons with HIV/AIDS.

Below is the summary breakdown of the support provided from the above goals.

One Year Goals for the Number of Households to be Supported	
Homeless	110
Non-Homeless	62
Special-Needs	119
Total	291

Table 11 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	229
The Production of New Units	5
Rehab of Existing Units	48
Acquisition of Existing Units	9
Total	291

Table 12 - One Year Goals for Affordable Housing by Support Type

Discussion

While it is estimated that nearly 500 homeless individuals will be served with ESG dollars between Emergency Shelter, Street Outreach, Homeless Prevention and Rapid Rehousing, the above number includes only those who will be supported by a direct rental assistance subsidy through ESG.

The Special-Needs Line item reflects individuals served with subsidies through HOPWA's STRMU/PHP and TBRA projects, as well as units supported with HIV/AIDS Housing Operations projects.

AP-60 Public Housing – 91.220(h)

Introduction

The Worcester Housing Authority (WHA) is responsible for providing decent, safe and sanitary housing for individuals residing in Worcester who have extremely low and low to moderate incomes. WHA is an autonomous corporation which is allowed to act as a municipal entity and participate in municipal benefits. The City's Executive Office of Economic Development's Housing Development Division and the WHA operate independently, and therefore the Housing Development division's direct role in providing public housing is very limited.

(draft)

Actions planned during the next year to address the needs to public housing

Clearly the most difficult issue facing low income households in Worcester is the availability of affordable housing options. The WHA's strategy with regard to its public housing inventory is to:

- Continue to maintain a 98% or higher monthly occupancy rate agency wide;
- Decrease unit turnover time in an effort to house families quicker;
- Monitor the opening and closing of its waiting lists to ensure that applicants' wait time is reduced as best possible;
- Increase the number of private landlords to participate in the Section 8 Housing Choice Voucher program;
- Continue its rigorous screening of applicants to ensure that landlords are renting to qualified candidates, increasing the desirability of the HCV program;
- Apply for additional HCV should they become available.

In the summer of 2014, the WHA was invited to participate in two Rental Assistance Demonstration (RAD) conversions projects in the City of Worcester. The Lincoln Village RAD conversion, a privately owned multi-family housing development of 1,275 units, resulted in approximately 600 project based subsidy assisted units. Over 500 mobile housing vouchers have been become available to the WHA expanding on what typically is only about 185 such vouchers offered annually. Additionally, Coe's Pond Village RAD conversion in late 2015 will result in an additional 250 project based subsidy assisted units.

(draft)

Actions to encourage public housing residents to become more involved in management and

participate in homeownership

The WHA has long realized that a portion of its success is dependent upon the satisfaction of its residents. Continuing on a long standing tradition of fostering partnerships, building resident leadership opportunities, WHA supports 13 formally recognized tenant organizations and they are the conduit through which ideas and issues are presented to the WHA administration. In turn the administration facilitates through the organizations new policy, operational and program changes and enhancements to the residents. Additionally, a WHA Resident Advisory Board meets monthly with the Executive Director to discuss, in addition to policy, operational and programming, other areas that have a direct effect on the people it serves.

At the time of this submission the WHA does administer a Section 8 to Homeownership Program. the intent of the WHA Housing Choice Voucher Homeownership program is to provide families of low-income, disabled families and elderly families who are eligible for Section 8 rental assistance the option of utilizing this assistance in purchasing a home. The implementation of this option will provide eligible voucher holders the ability to expand their housing opportunities beyond the rental market and use their assistance to purchase homes in the neighborhoods of their choice.

(draft)

If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance

N/A

Discussion

AP-65 Homeless and Other Special Needs Activities – 91.220(i)

Introduction

The City's Plan to Address Homelessness strives to expand on the successful “housing-first” model which moves away from extensive and costly shelter stays to focus on homelessness prevention to stabilize individual adults, families, youth and young adults experiencing housing instability. The City’s ultimate goal is to quickly stabilize those in our community who are homeless or at-risk of homelessness so they can ultimately obtain safe and affordable permanent housing. The City recognizes the need to develop units for individuals and families through innovative strategies including rehabilitating existing housing stock, furthering homelessness prevention efforts, and improving the delivery of comprehensive service strategies that address the health, employment, and long term self-sufficiency skills targeted to specific populations struggling with homelessness and other special needs.

Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including

Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs

The City will continue its current strategies in reaching out to shelter and unsheltered homeless persons and assessing their individual needs. This action is associated with Action Plan Goal 8: Resolve Barriers to Housing for Homeless Persons. City ESG funds in the amount of \$37,262.74 will support the salary and fringe for an Outreach Case Manager to conduct assessment of individual needs and enable access to mainstream resources and housing referrals for households without children that are unsheltered. In one year, it is expected that the outreach case manager will engage with about 100 literally homeless individuals or 95 households (predicting to include about 5 unsheltered couple households). The Outreach Worker, an employee of the City of Worcester’s Department of Health & Human Services, will work closely with the City of Worcester Quality of Life Task Force, the Worcester Police Department’s Crisis Intervention Team, and other local outreach players in collaboration with the Worcester City and County Continuum of Care’s Coordinated Entry System.

In addition to ESG Outreach, there are homeless outreach services in the City to identify and engage with such individuals/families that offer immediate and long-term assistance to unsheltered persons by frequenting locations such as the downtown corridor of Union Station, the Public Library, parks and roadways prone to panhandling and loitering, soup kitchens, and food pantries. The goal is to engage with people over time and, through an outreach presence and relationship, connect those who typically refuse services to resources such as housing case management, substance abuse treatment and benefit assistance. One newly-established outreach team is supported by the South Middlesex Opportunity Council (SMOC), the agency that operates the Triage & Assessment Center. This additional staff helps to facilitate referrals to the Triage & Assessment Center and ultimately, permanent housing solutions. Community outreach organizations engage with partners and stakeholders to create a holistic system of

outreach, engaging with hospitals, law enforcement, detox centers, and other services that may commonly encounter homeless individuals.

Addressing the emergency shelter and transitional housing needs of homeless persons

The City's one-year plans to address emergency shelter and transitional shelter needs for the homeless are encompassed in Strategic Plan Goal 8: Resolve Barriers to Housing for Homeless Persons, and Goal 9: Housing Opportunities for People Living with HIV/AIDS. These actions will be supported by both ESG and HOPWA funds through the following activities.

ESG Emergency Shelter provides \$38,461.11 in funding for emergency shelter case management for veterans and \$50,000 for emergency shelter case management for Triage and Assessment services at the primary shelter for unaccompanied homeless adults. HOPWA funds provide supportive services that may assist individuals living with HIV/AIDS in connecting, as determined by individual needs, to emergency shelter and transitional housing through Coordinated Entry and Access systems in both Worcester County and Windham County, CT.

All of these activities help address the emergency shelter and transitional housing needs of homeless populations because of the crisis-intervention nature of the program support. These programs recognize that permanent housing is the ultimate goal, but some populations that are particularly at-risk may need enhanced stabilization and case management.

Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again

Helping homeless persons, including chronically homeless, individuals, families with children, veteran with their families, and unaccompanied youth make the transition to permanent housing and independent living, and ensuring that households do not return to homelessness are priority needs identified in Goal 8: Resolve Barriers to Housing for Homeless Persons and Goal 9: Housing Opportunities for People Living with HIV/AIDS of the Strategic Plan. One-year goals to address this priority area focus on the housing facility and supportive service needs to transition to permanent housing, thanks to the expertise of sub-recipient agencies responsible for carrying out permanent housing placement and rapid re-housing activities. For example, all of the financial assistance for housing that the City provides through ESG and HOPWA also ensures a supportive service match that leads households to self-sufficiency during the process of Rapid Re-Housing. The Coordinated Entry & Assessment process through the Continuum of Care ensures that housing placements are made with the appropriate supportive services using Continuum of Care and other mainstream resources targeted to

disabled and/or chronically homeless households.

ESG Rapid Re-Housing provides funding towards unaccompanied adults in the amount of \$198,800 (adjusted to include prior-year unexpended balances), which includes first and last months' rent and short-to-medium-term rental assistance, depending on individual needs. To support the housing needs of unaccompanied young adults, ESG Rapid Re-housing funds approximately \$20,000 (adjusted to include prior-year unexpended balances) towards first and last months' rent, short-to-medium-term rental assistance and other financial assistance related to rehousing young adults ages 18-24 years.

HOPWA funds focus on stabilization in the transition to permanent housing by providing supportive services through case management and permanent housing placement for rapid re-housing. HOPWA supports Tenant-Based Housing Assistance (\$28,653.00) which focuses on the attainment of permanent housing through mobile vouchers. Additional permanent housing is available through facility-based permanent supportive housing programs (\$92,777.73), and Permanent Housing Placement rental start-up assistance (approx. \$36,124.00).

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly 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, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.

Needs associated with preventing homelessness for all populations City-wide are addressed through Strategic Plan Goal 7: Expand Resources for Homeless Prevention. This focus will include housing stabilization case management for some, and actual cash assistance for limited utility and rent payments depending on specific household needs (or a combination of both, as assessed by housing providers). The commitment of the actions is supported by HOPWA Short-term Rent, Mortgage, and Utility assistance (STRMU) (approximately \$62,500.00) for over 50 low-income households with a family member or individual that is HIV-positive. Housing stabilization needs including referrals, services for special needs and disabled households, skills training, and planning for individuals discharged from publicly funded institutions. These goals are accomplished widely through community partnerships brokered between agencies and in collaboration with the City.

ESG funds for housing stabilization case management for homeless and formerly homeless individuals will accomplish the needs and goals identified for year three. Institutional delivery of services that address housing, health, social services, employment, education, as well as youth needs are also facilitated through coordination and in coalition with City departments and initiatives.

Discussion

In addition to addressing the problems associated with homelessness, the City plans to address the housing and supportive services needs of persons who are not homeless but have other special needs. Stakeholders from mental health and physical health institutions, elder care organizations and refugee resettlement/immigration service organizations are made aware of supportive services and supportive housing resources available through the Coordinated Assessment and Entry process facilitated by the Continuum of Care (CoC). Additionally, these entities are at the table when discussing Housing and Homelessness Benefits (HHB) at the monthly HHB meetings facilitated by the CoC Lead Agency. This monthly forum is attended by front line service providers, concerned citizens, current and former recipients of services, affordable housing providers and others, to spread awareness and foster connections for supportive services and special needs providers.

The City of Worcester and the CoC also have a seat at the Community Roundtable on Youth Homelessness, which includes over 25 multi-sector children and youth-serving agencies. One key goal of the roundtable is to reduce youth homelessness by assuring appropriate discharges and transitional care for youth transitioning from the Massachusetts Foster Care system. The group also includes representation from the State Department of Children and Families and the Worcester Public Schools.

Finally, the recently-reconvened City of Worcester Department of Health & Human Services provides coordination and management of the City's critical services in the areas of Public Health, Veterans' Services, Human Rights and Disabilities, Elder Affairs and Youth Services. Access to these programs and services associated with persons with special needs are streamlined through this City department by providing information, outreach and educational programs for all Worcester residents regardless of age, race, ability or health condition.

AP-70 HOPWA Goals – 91.220 (I)(3)

One year goals for the number of households to be provided housing through the use of HOPWA for:	
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family	66
Tenant-based rental assistance	13
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	20
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds	0
Total	99

AP-75 Barriers to affordable housing – 91.220(j)

Introduction

Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment

The following actions will be addressed in year one of the Consolidated Plan to overcome impediments identified in the Analysis of Impediments to Fair Housing:

Rental Occupancy Practices

Increase coordination among those City officials working in housing policy and development and those working on human rights and disability issues. Continued and renewed efforts to build partnerships and increase communications and connections among City policy makers, advocates and community groups will help to further the success of these initiatives. As a result of the Consolidated Planning process more coordination among City Departments has occurred on a number of cross cutting issues including housing policy and development.

Mortgage Lending and Foreclosure

Continue to coordinate with organizations that provide education, counseling and assistance to homebuyers and homeowners to promote successful homeownership. For the Action Plan this is addressed in goals and objectives by Goal 1, which includes a project for homebuyer assistance to be funded this year.

Affordable Housing Distribution

Promote mixed-income housing and mixed-income neighborhoods, including encouraging market-rate development in low-income areas and creating and preserving affordable housing units in areas of the city where they are currently scarce – particularly where strong neighborhood amenities are available such as schools, parks and shopping. For the Action Plan this is addressed in goals and objectives by Goal 1, which includes many projects to be funded this year.

Housing Cost Burdens

Continue to support the capacity of affordable housing developers who can bring in federal resources or creatively leverage other resources to increase the regional supply of affordable housing. For the Action

Plan this is addressed in goals and objectives by Goal 1, which includes many projects to be funded this year.

In an ongoing effort to reduce zoning barriers that may inhibit affordable housing development, the City of Worcester's Adaptive Reuse Overlay District encourages the reuse of underutilized buildings and land throughout the city. The city's four recently adopted Parking Overlay Districts also encourage the rehabilitation of buildings in some of the city's most vibrant and historically rich neighborhoods by removing off-street parking requirements, thereby decreasing demand for surface parking and removing a regulatory barrier for the redevelopment of these buildings into a variety of uses (e.g., housing, restaurant, retail). Finally, the disposition through thoughtful request for proposals (RFP) processes has resulted in the redevelopment of previously city-owned property into market rate housing. The following developments which include a balanced mix of proposed market rate and affordable units were facilitated or have been proposed through the use of these tools:

Adaptive Reuse Overlay Districts:

- 1151-54 Main Street - former textile factory into 109 housing units (market rate)
- 64-79 Beacon Street - former Junction Shops into 181 housing units
- 93 Grand Street – former Crompton & Knowles Mill into 64 housing units (mixed rate)
- 95-97 Gates Street – manufacturing building in to 37 housing units (market rate)

Parking Overlay Districts:

- 48 Water Street – former Chevalier Furniture building into 64 units (mixed income)

Land Use Disposition of City-owned properties for redevelopment:

- 28 Adams Street – former Adams Street School house into 28 units (market rate)
- 34 Grove Street – former vocational school into 84 units (mixed income)

Discussion

AP-85 Other Actions – 91.220(k)

Introduction

The City of Worcester has a number of plans designed to address priority needs in the community, including strategies to meet public service needs, foster and maintain affordable housing needs, mitigate lead-based paint hazards, create economic opportunities, and develop the institutional structure through coordination and collaboration between public and private entities.

Actions planned to address obstacles to meeting underserved needs

Challenges to meeting underserved needs in the coming year stem primarily from increasing demand for program activities combined with decreasing amounts of funding. In order to maximize efficiency and achieve a greater impact, the City proposes the following actions:

- Annually, EOED conducts funding overview and technical assistance workshops for parties interested in applying for HUD entitlement funds through CDBG, HOPWA, and ESG, (usually planned for November). The workshops are designed to focus and facilitate discussion with interested parties in order to define the key social service issues and community needs in Worcester, to identify gaps in service, and to brainstorm potential strategies to address needs and gaps. The workshops were also designed to foster dialogue among agencies/departments to enhance collaboration and the sharing of information.
- Continue to work to improving access to services by persons with limited English proficiency in order to reach underserved populations. According to recent U.S. Census American Community Survey data, 18 percent of the Worcester population speaks a language other than English and speaks English less than “very well.” It is therefore important to ensure that critical programs and services address language and cultural barriers that isolate households and impede successful utilization of community resources. This proposed action includes developing a Language Assistance Plan for HUD Entitlement Programs.

Actions planned to foster and maintain affordable housing

The City will foster the rehabilitation of both rental and owner housing units, as these efforts keep people in affordable housing and may serve to prevent homelessness, especially for extremely low-income and elderly homeowners. The City also prioritizes homeless activities, ranging from the provision of emergency shelter to supportive services that prevent homelessness. Overall, the City will focus on multiple efforts to foster and maintain affordable housing, including rental assistance, rental acquisition and rehabilitation, new rental construction, owner occupied rehabilitation, and down payment assistance for first-time buyers.

Actions planned to reduce lead-based paint hazards

The Worcester Lead Abatement Program was awarded a \$3.714 million Lead Hazard Reduction Demonstration Grant from the HUD Office of Healthy Homes in 2015 for the lead paint and soil abatement of low income and very low income housing units, as well as the provision of primary prevention services in the form of outreach and education to low- and moderate-income families with children under age six. The City plans to continue these efforts through subsequent rounds of HUD Healthy Homes funding, and anticipates addressing lead-based paint hazards in 70 housing units over the next year.

The City's Housing Development Division (HDD) administers the Worcester Lead Abatement program that can provide up to \$10,000 per unit to assist with lead abatement in approved properties with low- to moderate-income tenants. HDD also coordinates the Massachusetts "Get the Lead Out" loan program funded by MassHousing for additional abatement assistance over the \$10,000 per unit threshold. In addition, any CDBG funded housing rehabilitation project over \$25,000 will be deleted in conjunction with the rehabilitation activities to take place. For projects between \$5,000 and \$24,999, a lead report will be obtained prior to rehabilitation work taking place.

Actions planned to reduce the number of poverty-level families

Given the high proportion of residents living in poverty, the City focuses on using its HUD entitlement program funds for initiatives and projects that provide the maximum benefit to very low, low and moderate income individuals and households. The City's anti-poverty strategy seeks to support programs that provide job and life skills training and other advancement opportunities, and is part of a coordinated effort to create jobs and improve the local economy. This two-pronged approach helps families achieve and maintain economic security and self-sufficiency. In addition, EOED will continue coordinating with the Central Massachusetts Workforce Investment Board (CMWIB) around programs and initiatives that support the City's goal of reducing poverty.

Actions planned to develop institutional structure

Coordinated Entry for Homeless Persons is convened by the Central Massachusetts Housing Alliance, Inc. (CMHA), the lead agency for the Continuum of Care (CoC) in partnership with the City of Worcester and CoC agencies. The purpose of the Coordinated Entry system is to improve the quality of the CoC and greater Worcester's homeless housing and service system, and to improve outcomes for individuals and families in the continuum that are threatened with or experiencing homelessness. Two Work Groups convene bi-weekly to develop the coordinated entry policy, with one group focused on the needs of homeless families and the other on homeless individuals (including veterans and their families, and unaccompanied youth). The work groups implement processes that prioritize individuals and families

with the greatest needs (especially chronically homeless households) for housing and service assistance , and attempt to minimize barriers to entry because of lack of employment or income, drug or alcohol use, or having a criminal record. The City and the CoC encourage a Housing First model, but recognize that some housing and service resources are required by funding agencies or providers to give preferences to certain populations including sub-groups determined by age, disability, gender, or community problem.

The Coordinated Entry system ensures appropriate access to housing based on individual needs and assessments, and promotes effective referrals and partnerships throughout the homeless services system.

Community partners at the heart of the overall institutional structure, including those that serve homeless and non-homeless populations, have cited gaps in the coordination, collaboration, and information sharing among organizations responsible for program delivery. In particular, the consultation process highlighted a need to increase awareness of existing resources amongst organizations. This gap impacts the referral system for clients, and consequently affects the ability of low- and moderate income residents to access other critical resources in the community. As a result, the City will support information and referral and direct case management services that help connect low- and moderate-income residents to much needed social and human services.

Actions planned to enhance coordination between public and private housing and social service agencies

A number of local and regional agencies, non-profit organizations, and service providers engaged in the consultative process that informs this Action Plan. EOED will capitalize on these relationships to enhance coordination, as well as continue to work collaboratively with various municipal departments to maximize the use of limited resources to address the needs of low- and moderate-income residents. In addition, the City will continue to actively participate in ongoing efforts to enhance coordination with private industry, businesses, developers, and social service agencies in order to foster economic development. EOED, for example, plays a leadership role in the Worcester Business Resource Alliance (WBRA), a centralized network of business professionals, technical assistance providers, lenders, and community development organizations that collectively provide services to entrepreneurs and small business owners and managers.

Discussion

Program Specific Requirements

AP-90 Program Specific Requirements – 91.220(I)(1,2,4)

Introduction

Community Development Block Grant (CDBG) allocations to fund Third Year Action Plan (7/1/17 - 6/30/18) activities contained within this document include \$3,933,062 in U.S. Department of Housing and Urban Development (HUD) Fiscal Year 2017 CDBG Entitlement Funds for the City of Worcester (Grant # B-17-MC-25-0026), \$_____ in CDBG anticipated program income generated from prior years activities, and \$_____ in CDBG unexpended balances from prior year allocations. Thus a total of \$_____ in CDBG funds will be available and has been allocated for Third Year Action Plan Activities (7/1/17 - 6/30/18) as presented in Tables AP-20 (Annual Goals and Objectives) and AP-38 (Project Summary) of this document.

Community Development Block Grant Program (CDBG) Reference 24 CFR 91.220(I)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan.	0
3. The amount of surplus funds from urban renewal settlements	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan	0
5. The amount of income from float-funded activities	0
Total Program Income:	0

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	0.00%

**HOME Investment Partnership Program (HOME)
Reference 24 CFR 91.220(l)(2)**

1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:

No other forms of investment are currently being used beyond those identified in Section 92.205

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

The City is not currently using HOME Investment Partnership Program funds for homebuyer assistance activities. In the event of resale of a property where there is not a direct subsidy to the homebuyer, the City uses a Resale Provision to preserve the remaining affordability period to ensure the housing is retained for occupancy for low-income households. The Resale Provision requires that if the owner of an income restricted property sells, conveys, or transfers his/her ownership interest in the property prior to the end of the minimum federally-required affordability period, the sale, conveyance, or transfer shall only be to an eligible, income-qualified purchaser. Other restrictions concerning notice of sale, maximum resale price, and marketing of affordable unit(s) shall apply and are fully retailed in the City's Resale Provision.

3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:

The purchaser must occupy the property as his/her principal residence throughout the period of affordability. For projects that are subject to a recapture provision, the period of affordability is determined by the amount of the amount of direct subsidy (defined below) to the homebuyer, as follows:

5 years for individual projects receiving between \$1,000 and \$14,999 in Housing Fund assistance per unit; and

10 years for individual project receiving between \$15,000 and \$40,000 in Housing Fund assistance per unit; and

15 years for individual project receiving more than \$40,000 in Housing Fund assistance per unit.

While long-term affordability can be accomplished through either recapture or resale provisions, the City has elected to impose recapture provisions on all HOME-assisted homeownership projects.

4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:

The City of Worcester is still working with HUD Technical Assistance unit to finalize a policy to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds, but does not currently intend to refinance existing debt currently secured with HOME funds.

Emergency Solutions Grant (ESG) Reference 91.220(l)(4)

1. Include written standards for providing ESG assistance (may include as attachment)

Written standards are provided as an attachment to this plan.

2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.

Coordinated Entry for Homeless Persons is convened by the Central Massachusetts Housing Alliance, Inc. (CMHA), the lead agency for the Continuum of Care (CoC) in partnership with the City of Worcester and CoC agencies. The purpose of Coordinated Entry is to improve the quality of the CoC and greater Worcester's homeless housing and service system, and to improve outcomes for

individuals and families in the continuum that are threatened with or experiencing homelessness. Two Work Groups convene bi-weekly to develop the coordinated entry policy, with one group focused on the needs of homeless families and the other on homeless individuals (including veterans and their families, and unaccompanied youth). The work groups implement processes that prioritize individuals and families with the greatest needs (especially chronically homeless households) for housing and service assistance, and attempt to identify and minimize barriers to entry including lack of employment or income, drug or alcohol use, or criminal record. The City and the CoC encourage a Housing First model, but recognize that some housing and service providers give preference to certain populations based upon age, disability status or gender.

The Coordinated Entry system ensures appropriate access to housing based on individual needs and assessments, and promotes effective referrals and partnerships throughout the homeless services system.

3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).

Please see attached the Fiscal Year 2018 Emergency Solutions Grant Program - Request for Proposals, which explains the process for making sub-awards and how funds are allocated to private nonprofit organizations.

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

Members of the CoC Board and diverse funding partners with knowledge of existing needs and resources in the community, such as the United Way, contribute to recommendations for making sub-awards for ESG. This year, direct service providers also participated as committee members to share insight into how ESG-funded projects are working on a practical level. In the past 5 years, ESG funds have been used for prevention, rapid-rehousing, street outreach and emergency shelter operations to serve major sub-populations represented in our community. The decision to allocate funds to these activities is greatly informed by the gaps and resources currently available through the federal HEARTH act in consultation with the CoC Board, and further informed by “on-the-ground” feedback in regards to how certain programs are filling service gaps in the community.

The CoC Board is staffed according to HUD's requirements, including: broad geographical representation, formerly homeless individuals, the City of Worcester as ESG recipient agency, veterans services, homeless assistance providers, mental health providers, social service providers, victims services providers, faith-based organizations, hospitals, higher education, government, and the public housing authority. The role of this entity is as follows:

- Identifies emerging or changing needs among homeless individuals and families and recommends new resources to best address those needs
- Implements and supports policies that ensure the best use of available resources for the homeless population through a coordinated assessment and entry system
- Makes decisions on applications for new and/or renewed project funding based on a specific set of review criteria including monitoring and evaluation of specific program performance and documentation of an effective and transparent prioritization of resources to those with the greatest need.

The CoC Board’s input, based on its characteristics highlighted above, is considered significantly in the ESG funding recommendation process.

Based on feedback from this year’s funding recommendation process, the ESG grant administrator plans to update the scoring and ranking process to make it more intuitive and straightforward, encouraging participation by individuals and residents who don’t have extensive experience reading through grant proposals, but have valuable insight into the service system in Worcester. Voices of direct service providers this year have proven valuable to the process, and a simplification of the process will facilitate more representative input from the community.

5. Describe performance standards for evaluating ESG.

As part of the process of allocating ESG funds through the City’s RFP process, there are established performance standards to evaluate ESG program subrecipients. Under the “Project Narrative & Description” section, subrecipients provide a method for tracking clients that can be measured through recording individual client or household-level data. Subrecipients predict the unduplicated number of families/persons that will benefit from the activity (output) and the cost to provide the service. On a quarterly basis, ESG subrecipients submit HMIS-generated Performance Reports to measure progress alongside financial drawdowns for each project.

HOME Resale Affordability Provisions

HOME Resale Affordability Provisions

The HOME resale requirements are established in the HOME rule at §92.254(a)(5)(i). Under HOME resale provisions, the City is required to ensure that, when a HOME-assisted homebuyer sells his or her property, either voluntarily or involuntarily, during the affordability period:

1. The property is sold to another HOME eligible low-income homebuyer who will use the property as his or her principal residence. Resale of the property during the affordability period and qualification of subsequent buyers will be governed by the HOME covenant and land use restriction on the property;

2. The original homebuyer receives a fair return on investment, (i.e., the homebuyer's down payment plus capital improvements made to the house); and

3. The property is sold at a price that is "affordable to a reasonable range of low-income buyers". This maximum limit would be set at the HOME Homeownership Value Limits published by HUD found here: <https://www.hudexchange.info/resource/2312/home-maximum-purchase-price-after-rehab-value/>

Affordability Period:

Under resale, §92.254(a)(5)(i) of the HOME rule states that the period of affordability is based on the total amount of HOME funds invested in the housing. In other words, the total HOME funds expended for the unit determines the applicable affordability period. Any HOME program income used to assist the project is included when determining the period of affordability under a resale provision.

Discussion

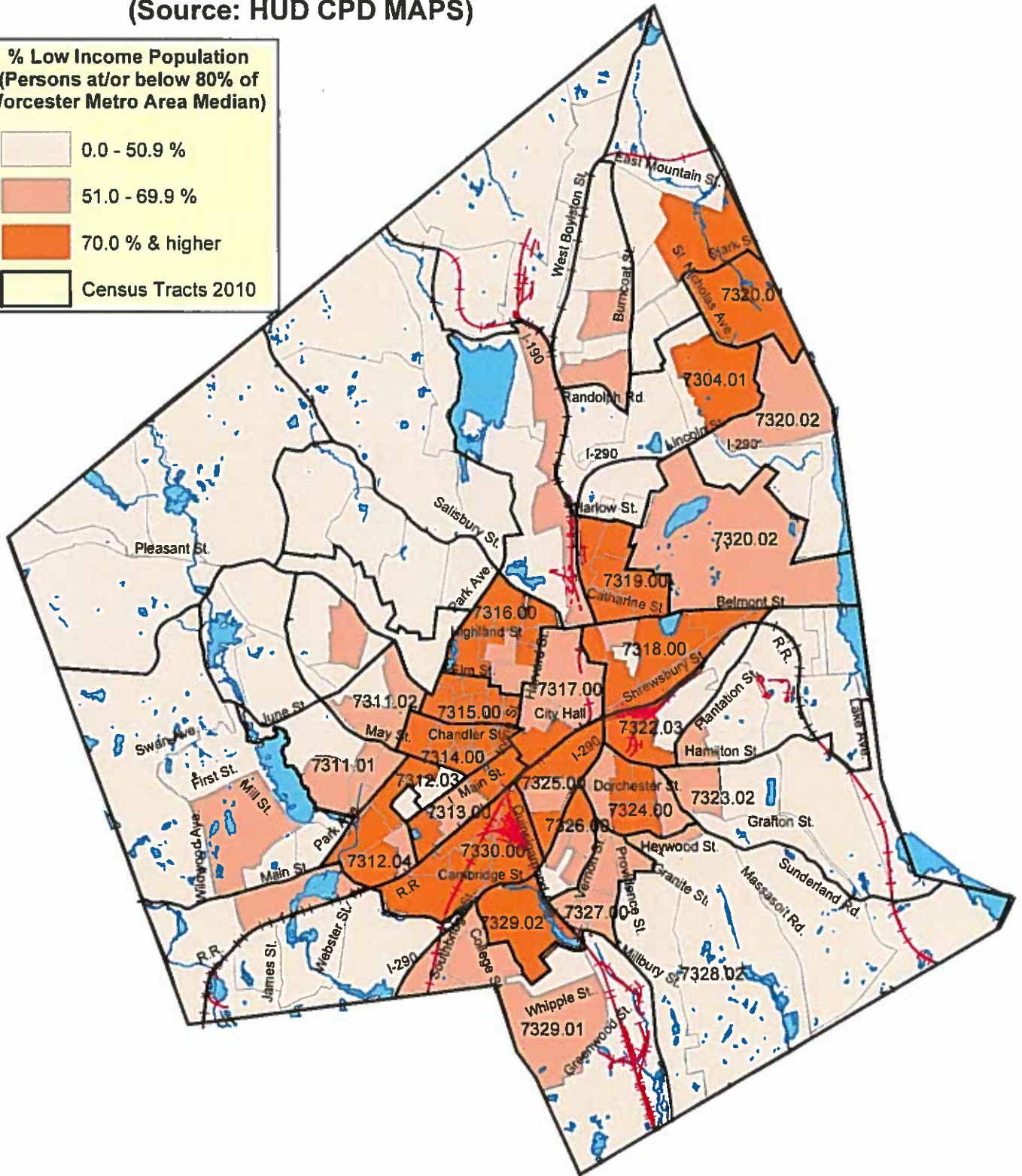
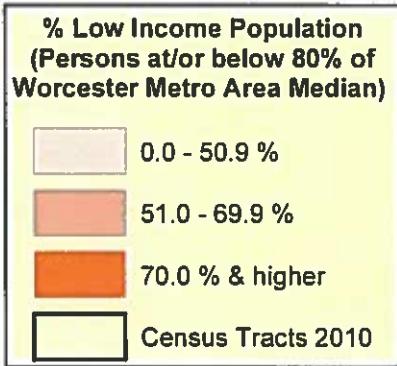
CITY OF WORCESTER, MA 2015-20 CONSOLIDATED SUBMISSION DEMOGRAPHIC ANALYSIS OF TARGET AREAS		<i>Disproportionate</i> Low/Mod Census Tracts	City of Worcester MA	Union Hill Target Area
ITEM	<i>(Target Area Definitions provided below)</i>			
Number of Census Tracts (2010 U.S. Census)	23	14	44	1
% Low/Moderate Income (LMI) Population	69.6%	78.7%	54.4%	72.9%
Population (2010 U.S. Census)	97,927	62,478	181,045	6,459
% of City Population	54.1%	34.5%	100.0%	3.6%
% Population Change 2000-10	4.0%	2.8%	4.9%	-2.7%
Area (sq. miles)	13.4	5.3	38.6	0.4
% of City Area	34.7%	13.6%	100.0%	1.0%
Density (2010 Population per sq. mile)	7,319	11,808	4,691	16,820
% of Area that is parkland	9.6%	4.8%	5.9%	1.6%
% of Area that is water	2.0%	0.7%	2.8%	0.0%
% 2010 Population by Racial/Ethnic groups (U.S. Census)	100.0%	100.0%	100.0%	100.0%
White, non-Hispanic	45.9%	38.3%	59.6%	63.4%
Hispanic	31.3%	38.5%	20.9%	17.1%
Black, non-Hispanic	12.1%	11.9%	10.2%	11.5%
Asian, non-Hispanic	6.8%	7.1%	6.0%	3.2%
American Indian/Alaska Native, non-Hispanic	0.3%	0.4%	0.2%	0.0%
All Other Single Races, non-Hispanic	0.8%	0.9%	0.7%	1.2%
Two or more Races, non-Hispanic	2.6%	2.8%	2.3%	3.6%
2010 Median Age (years)	32.0	29.2	34.7	28.2
2000 Median Age (years)	31.6	29.0	33.4	30.5
% Change in Median Age 2000-10	1.3%	0.7%	3.9%	-7.5%
% of Households with Persons Age 65 or more (2010 U.S. Census)	19.2%	16.4%	22.5%	14.7%
% of Households with Persons Under Age 18 (2010 U.S. Census)	33.1%	34.5%	31.3%	46.4%
% of Persons Age 25 or more, High School Grad (2007-11 American Community Survey)	77.2%	74.6%	83.3%	71.9%
% of Persons Age 16 or more, Unemployed (2007-11 American Community Survey)	12.5%	14.4%	9.9%	22.5%
Housing Units (2010 U.S. Census)	41,230	25,680	74,645	2,458
% Owner-Occupied Housing Units (2010 U.S. Census)	23.5%	14.7%	40.9%	21.0%
% Renter-Occupied Housing Units (2010 U.S. Census)	66.7%	74.1%	51.0%	65.8%
% Vacant Housing Units (2010 U.S. Census)	9.7%	11.1%	8.1%	13.2%
% Change in Housing Units 2000-10	3.4%	1.7%	5.6%	2.8%
% Change in Owner-Occupied Units 2000-10	4.0%	2.8%	5.1%	-4.4%
% Change in Renter-Occupied Units 2000-10	0.4%	-1.0%	0.3%	-2.9%
% Change in Vacant Units 2000-10	49.9%	44.5%	63.2%	74.7%
Home-Owner Vacancy Rate - % Owner Units Vacant & For Sale (2010 U.S. Census)	2.4%	3.2%	2.2%	2.8%
Rental Vacancy Rate - % Renter Units Vacant & For Rent (2010 U.S. Census)	7.2%	7.8%	6.9%	7.2%
% of Vacant Units Not on the Market (2010 U.S. Census)	40.8%	39.2%	41.4%	56.8%
% of Occupied Units Owner Occupied for all Racial/Ethnic Groups (2010 U.S. Census)	26.1%	16.6%	44.5%	24.2%
% of Occupied Units Owner Occupied for White, non-Hispanics	34.1%	20.6%	54.2%	30.7%
% of Occupied Units Owner Occupied for Hispanics	12.6%	10.2%	17.8%	14.0%
% of Occupied Units Owner Occupied for Black, non-Hispanics	20.8%	17.8%	29.5%	22.8%
% of Occupied Units Owner Occupied for Asian, non-Hispanics	25.0%	18.8%	40.2%	30.9%
% of Occupied Units Owner Occupied for American Indian/Alaska Native, Non-Hisp.	19.1%	17.8%	26.2%	0.0%
% of Occupied Units Owner Occupied for other Single Race, non-Hispanics	15.7%	11.7%	19.0%	16.2%
% of Occupied Units Owner Occupied for Two or more Races, non-Hispanics	18.4%	15.6%	29.5%	18.2%

<p align="center">CITY OF WORCESTER, MA 2015-20 CONSOLIDATED SUBMISSION DEMOGRAPHIC ANALYSIS OF TARGET AREAS</p>	<p align="center"><i>Low/ Mod Census Tracts</i></p>	<p align="center"><i>Dispro- portionate Low/ Mod Census Tracts</i></p>	<p align="center"><i>City of Worcester MA</i></p>	<p align="center"><i>Union Hill Target Area</i></p>
<i>ITEM (below Items from U.S. Census 2007-11 American Community Survey)</i>	<i>(Target Area Definitions provided below)</i>			
% Owner Occupied Units in Housing Built >1940	60.3%	77.0%	41.3%	67.0%
% Owner Occupied Households with Housing Cost Burdens >30% of Income	41.5%	47.8%	38.0%	48.2%
% Owner Occupied Households without Vehicle	6.4%	9.3%	4.2%	28.0%
% Owner Occupied Households without Complete Kitchen Facilities	0.1%	0.0%	0.2%	0.0%
% Owner Occupied Households without Complete Plumbing	0.1%	0.0%	0.1%	0.0%
% Renter-Occupied Units in Housing Built >1940	55.0%	60.8%	51.6%	67.2%
% Renter-Occupied Households with Housing Cost Burdens >30% of Income	51.3%	53.5%	48.9%	30.7%
% Renter-Occupied Households without Vehicle	31.1%	36.7%	26.6%	23.1%
% Renter-Occupied Households without Complete Kitchen Facilities	1.5%	1.6%	1.6%	1.0%
% Renter-Occupied Households without Complete Plumbing	0.9%	1.4%	0.8%	0.0%
Consolidated Plan Target Area Definitions:				
<p>Low/Mod Census Tracts = 23 (of the city's 44) census tracts in which at least 51.0% of the population is of low- and moderate income (as per HUD CPD Maps). These 23 tracts are: 7304.01, 7311.01, 7311.02, 7312.03, 7312.04, 7313.00, 7314.00, 7315.00, 7316.00, 7317.00, 7318.00, 7319.00, 7320.01, 7320.02, 7322.03, 7323.02, 7324.00, 7325.00, 7326.00, 7327.00, 7329.01, 7330.00 and 7331.02. [See attached 2010 Low Income Population City of Worcester Map for census tract locations]. Two census tracts (7312.02 & 7329.02) are not included in the Low/Mod Target Area given that they are self-contained, college campuses with unique populations.</p>				
<p>Disproportionate Low/Mod Census Tracts = 14 of the city's census tracts in which at least 64.5% of the population is of low- and moderate-income (as per HUD CPD Maps). These tracts are defined as having a disproportionate share of low- and moderate-income (LMI) population given that the percentage of LMI population in these tracts is at least 10% or more greater than the citywide percentage of 54.4%. These 14 tracts are: 7312.03, 7312.04, 7313.00, 7314.00, 7315.00, 7316.00, 7317.00, 7318.00, 7319.00, 7320.01, 7324.00, 7325.00, 7326.00 and 7330.00. [See attached 2010 Low Income Population City of Worcester map for locations].</p> <p>Census Tract locations of key Neighborhoods Areas are: Main South/Beacon Brighton including the Gardner-Kilby-Hammond (GKH) Section 108 area (7312.03, 7312.04, 7313.00). Piedmont/Pleasant/Elm Park (7314.00, 7315.00, 7316.00), Downtown including CitySquare (7317.00), Shrewsbury Street/East Worcester/Bell Hill/Laurel Hill (7318.00), Lower Lincoln (7319.00), Great Brook Valley /Worcester Housing Authority (7320.01), Union Hill (7324.00), Green Island/Canal district (7325.00), Vernon Hill (7326.00) and South Worcester / South Worcester Industrial Park (7330.00).</p>				
<p>Union Hill Target Area = Census Tract 7324.00. The Union Hill neighborhood was ranked as the city's most distressed and the sixth most distressed in the State according to a 2013 Massachusetts Housing Partnership Analysis. The neighborhood has among the city's highest levels of poverty, crime, problems with idle youth including gangs and drugs, foreclosed properties, absentee property ownership, vacant/boarded-up buildings, empty lots and other economic distress factors. The neighborhood is the focus of a targeted strategy across multiple City departments including Economic Development, Inspectional Services, the Fire Department and Police Department that seeks to improve the quality of life in the area. The City is working in concert with key neighborhood institutions and stakeholders including Worcester Academy, Oak Hill Community Development Corporation (CDC), the Grafton Street Business Association, Girls, Inc., and the Worcester Senior Center to develop a neighborhood revitalization strategy for the area. In addition to inspectional services sweeps and enhanced police foot patrol presence, as part of a multiple phased approach, the City is working to rehabilitate neighborhood physical infrastructure ranging from road resurfacing to comprehensive streetscape improvements in some areas. The City is also engaging interested property owners to rehabilitate their residential properties and commercial storefronts.</p>				

2010 LOW INCOME POPULATION

City of Worcester

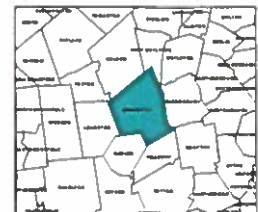
(Source: HUD CPD MAPS)



Produced by
City of Worcester
Geographic Information System
City Manager's Executive Office of
Economic Development



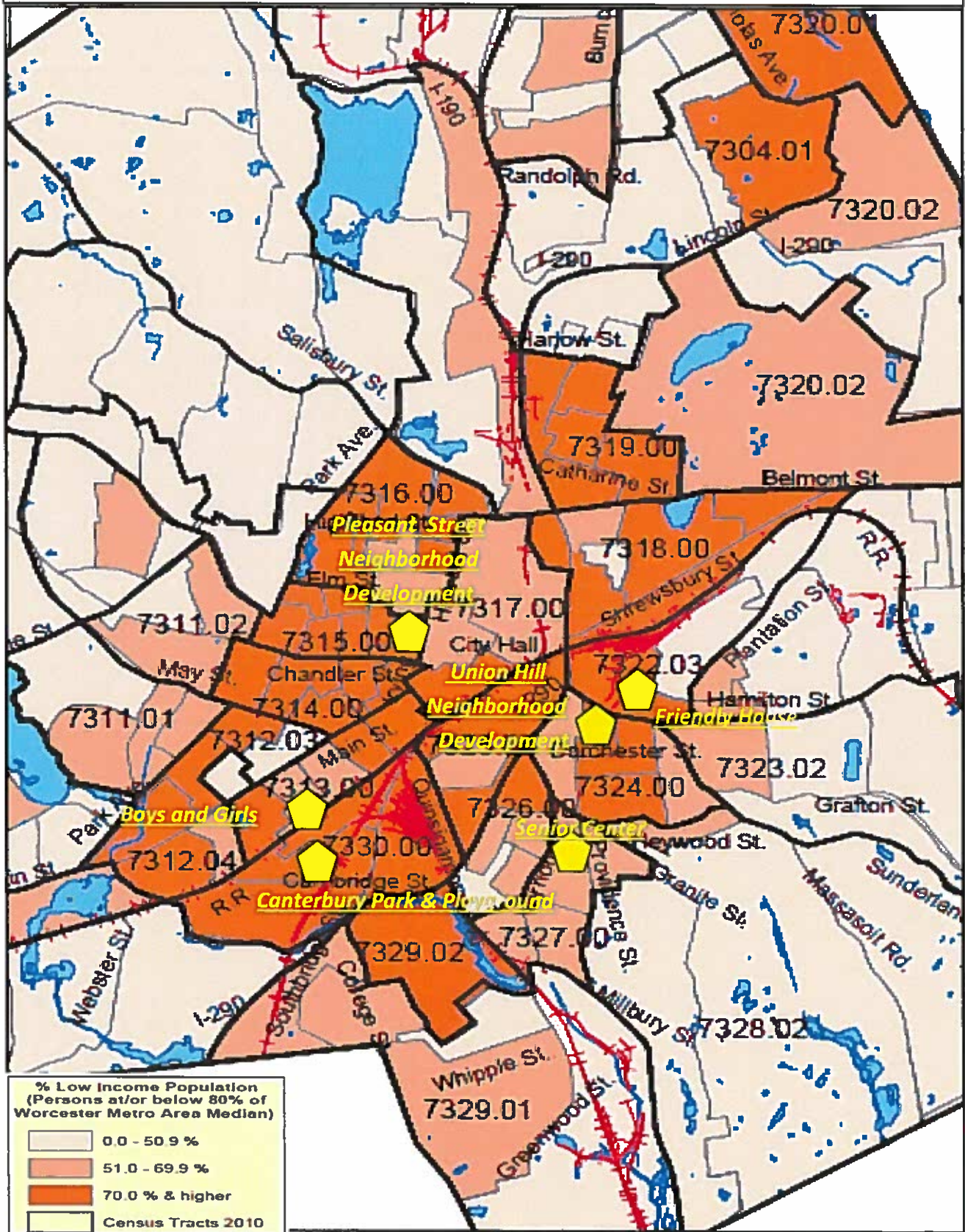
1 Inch = 8,917 Feet



Third Year Action Plan

(July 1st, 2017—June 30th, 2018)

CDBG Public Facilities & Infrastructure Sites



Second Year Action Plan

(July 1st, 2017—June 30th, 2018)

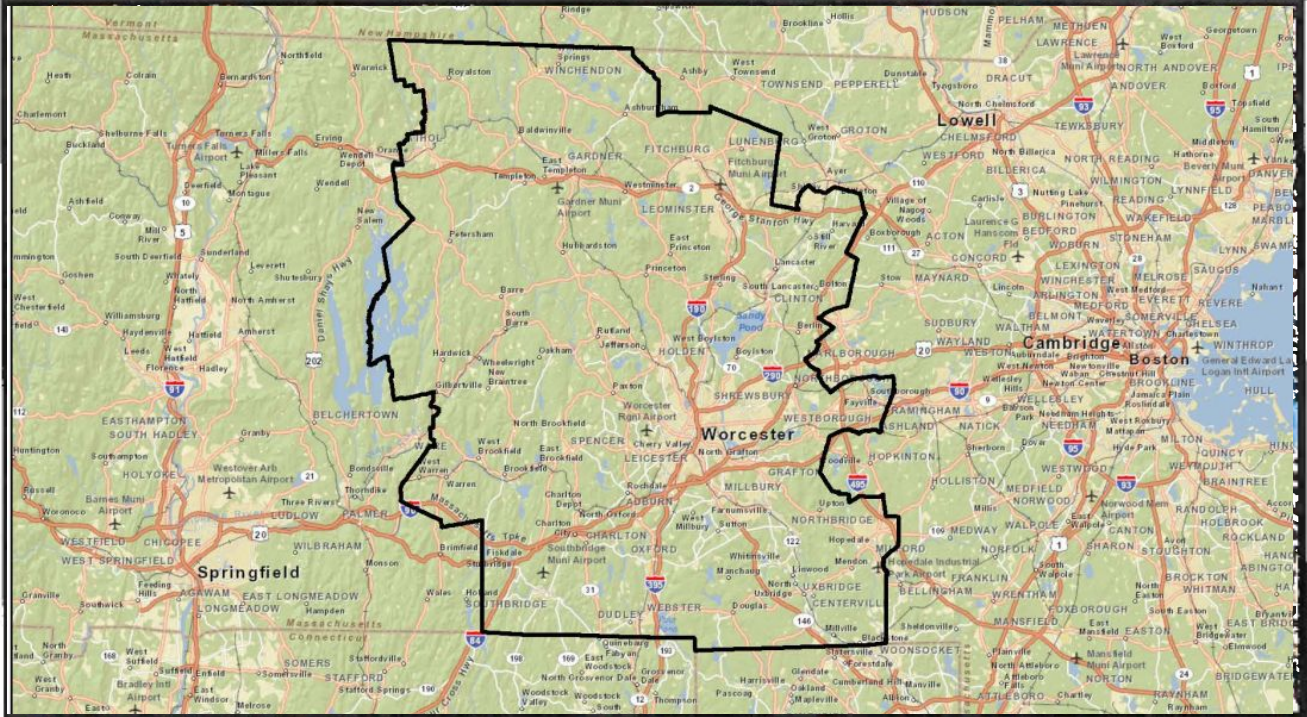
Worcester HOPWA Eligible Metropolitan Statistical Area (EMSA)



Third Year Action Plan

(July 1st, 2017—June 30th, 2018)

Worcester City and County Continuum of Care (CoC)



CITY OF WORCESTER
2016 ESG PROGRAM GUIDELINES
Revised May 5, 2016

Table of Contents

1. Introduction.....	1
2. Minimum Program Eligibility Criteria	2
3. Limits of Funding Assistance.....	3
4. Definitions of Selected Terms	4
5. Eligible Activities	7
6. Street Outreach	7
7. Emergency Shelter	7
8. Homeless Prevention.....	10
9. Rapid Re-Housing.....	13
10. Housing Stability Case Management	16
11. Housing Information Management System (HMIS)	18
12. Ineligible ESG Activities.....	19
13. Case Management Requirement	20
14. Habitability Standards and Lead Based Paint Requirements	20
15. Termination of Assistance.....	21
16. General Recordkeeping and Reporting Requirements	22
17. Documentation of Homeless Status	23
18. Documentation of At-Risk of Homelessness Status	26
19. Additional Recordkeeping Requirements.....	28
20. Match Requirements	30
21. Key Monitoring Elements	31

Forms and Attachments

ESG Documentation Checklists: Eligibility; Financial Assistance
ESG “But For” Certification
ESG Income Eligibility Calculation Worksheet
ESG Verification of Income
ESG Self-Declaration of Housing Status
ESG Self-Declaration of Income
Notice of Ineligibility for ESG Homelessness Prevention Assistance
Rent Reasonableness Checklist and Certification
ESG Rapid Re-Housing Landlord Acknowledgement Form
ESG Quarterly Performance Report
ESG Housing Habitability Standards and Lead-Based Paint Inspection Checklist
HUD Entitlement Timesheet Form (Sample)
Time and Effort Log

1. Introduction

1.1 In accordance with federal regulations set forth in 24 CFR 576, including but not limited to 24 CFR 576.400(e), the following ESG Program Guidelines (“Guidelines”) for the provision of Emergency Solutions Grant (“ESG”) assistance are adopted for all ESG funded contracts commencing July 1, 2014, between the City of Worcester and its subrecipient agencies. Notwithstanding any provision to the contrary, these Guidelines are intended solely for the convenience of the City’s subrecipients, and not to limit or alter the requirements of applicable federal, state or local laws, regulations or ordinances (collectively “Law”). Additionally, these Guidelines are intended to be read harmoniously with any contract between the City and any subrecipient. In all instances, the subrecipient shall comply fully with the requirements of the applicable contract, as well as applicable Law and the grant agreement between HUD and the City (“Grant Agreement”). In the event of any conflict between these Guidelines and said Law or Grant Agreement requirements, the applicable Law and the requirements of the Grant Agreement shall prevail over these Guidelines.

1.2 The ESG program provides funding to: (1) engage homeless individuals and families living on the street; (2) improve the number and quality of emergency shelters for homeless individuals and families; (3) help operate these shelters; (4) provide essential services to shelter residents; (5) rapidly re-house homeless individuals and families; and (6) prevent families and individuals from becoming homeless.

1.3 ESG subrecipients are required, to the full extent possible, to coordinate ESG activities with other programs targeted towards homeless individuals and families, as well as mainstream housing, health, social services, employment, education and youth programs for which homeless and at-risk families and individuals may be eligible. Agencies with which Subrecipients shall coordinate may include, for example, the Continuum of Care, HUD-Veteran Affairs Supportive Housing, Education for Homeless Children and Youth, Health Care for the Homeless, Runaway and Homeless Youth, Homeless Veterans Reintegration, Section 8, Public Housing, HOME Investment Partnership, the Workforce Investment Act, and Temporary Assistance For Needy Families programs.

2. Minimum Program Eligibility Criteria

2.1 The subrecipient shall conduct an initial evaluation to determine the eligibility of each individual or family for ESG assistance and the types of assistance needed to regain stability in permanent housing.

2.2 ESG assistance is open to individuals and families from the City of Worcester who meet the definitions of either being homeless or at-risk of homelessness. Family ESG assistance is reserved for households with children under age 21 or households headed by a pregnant woman who meet the appropriate eligibility criteria. All participants must meet the required income eligibility criteria as follows:

- For **Rapid Re-Housing** assistance, there is no income restriction for households at initial evaluation. However, at re-evaluation – **not less than annually** – household income must be below 30% AMI.
- For **Homelessness Prevention** assistance, households must have an income **below 30% AMI at initial evaluation**, and have no other housing options, financial resources, or support networks. At re-evaluation - **not less than quarterly** - the household must have an annual income below 30% AMI.
- The 30% AMI limit does **not** apply to program participants who are being served under the Emergency Shelter or Street Outreach components.

2.3 Prior to providing services with ESG funds, subrecipients shall evaluate and clearly document each household's income. The subrecipient shall determine the level of funding for each program participant through an initial intake assessment prior to providing services with ESG funds. **Participants are not eligible if they are already receiving the same type of financial assistance** (i.e., prevention, re-housing, or stabilization) **during the same time period from another federal or state source**. When the participant's income or other circumstances change (e.g. changes in household composition), the subrecipient shall re-evaluate the participant's eligibility and the amount and types of assistance the participant needs.

2.4 The subrecipient shall verify and document at the time of intake an individual's/family's homeless status. The priority for verification is as follows: third party documentation first, intake worker observations second, and certification from the person seeking assistance third. However, lack of third party documentation shall not prevent an individual or family from being immediately admitted to emergency shelter, receiving street outreach services, or being immediately admitted to shelter or receiving services provided by a victim service provider. Records contained in an HMIS or comparable database used by victim service or legal service providers **and** intake worker observations are acceptable evidence of third-party documentation **if** the database retains an auditable history of all entries, including the person who entered the data, the date of entry, changes made and if the database prevents overrides or changes of dates.

2.5 HMIS participation is a mandatory ESG requirement except for domestic violence and legal assistance providers as set forth in 24 CFR 576.107. All clients receiving ESG assistance must be reported in an approved HMIS system.

3. Limits of Funding Assistance

3.1 For both prevention and rapid re-housing activities, subrecipients shall provide participants with a fixed amount of financial assistance, **up to a maximum of \$4,000 per household per 24 months**. ESG subrecipients may exercise reasonable discretion within this maximum and in accordance with other applicable regulations regarding the amount of rental and utilities assistance provided, as well as the share that participants are required to pay, based on the financial needs of the individual. Agencies may request a waiver to the \$4,000 maximum

per household limit in writing to the City of Worcester under hardship circumstances only. Approval of this waiver is solely at the discretion of the City.

3.2 Within this limit and applying the criteria set forth above, subrecipients may make the assistance available in various forms, including assistance for one-time costs such as first and last month's rent and/or security deposit or in the form of monthly rent supplements. Program participants receiving project-based rental assistance must have a lease for a period not less than one year, regardless of the length of the rental assistance.

3.3 Subrecipients, depending on the resources available for prevention and applying the criteria set forth above, shall determine the extent and type of assistance that will best assist households maintain their tenancies. However, subrecipients using ESG funds **may not authorize any assistance** to households other than immediate emergency shelter **prior to obtaining all required documentation** as specified in the HUD ESG Regulations set forth in 24 CFR 576.

3.4 Standards for determining the share of rent and utilities that each program participant must pay, if any, will be based on the following:

- Current Fair Market Rent (FMR) limits set forth in 24 CFR 576.106(d) when rental assistance is provided (only clients receiving security deposit assistance and/or assistance with rental arrears assistance are exempt from this requirement under homeless prevention contracts); and
- Rent reasonableness, which takes the neighborhood into account ;

3.5 The Subrecipient is also required to comply with the following when providing rental assistance:

- Minimum habitability standards;
- Visual lead paint inspections; and
- Rental assistance agreement and lease between property manager and tenants as well as owner of property and agency.

3.6 **The subrecipient is expressly prohibited from providing rental assistance to a client if that client is already receiving rental assistance from another public source for the same time period** (with the exception of a one time payment of up to 6 months of rental arrears).

4. Definitions of Selected Terms

4.1 As set forth in 24 CFR 576.2, **the McKinney-Vento Act defines "homeless" as:**

- (1) An individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:

(i) An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;

(ii) An individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state, or local government programs for low-income individuals); or

(iii) An individual who is exiting an institution where he or she resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution;

(2) An individual or family who will imminently lose their primary nighttime residence, provided that:

(i) The primary nighttime residence will be lost within 14 days of the date of application for homeless assistance;

(ii) No subsequent residence has been identified; and

(iii) The individual or family lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, needed to obtain other permanent housing;

(3) Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who:

(i) Are defined as homeless under section 387 of the Runaway and Homeless Youth Act (42 U.S.C. 5732a), section 637 of the Head Start Act (42 U.S.C. 9832), section 41403 of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2), section 330(h) of the Public Health Service Act (42 U.S.C. 254b(h)), section 3 of the Food and Nutrition Act of 2008 (7 U.S.C. 2012), section 17(b) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)) or section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a);

(ii) Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the date of application for homeless assistance;

(iii) Have experienced persistent instability as measured by two moves or more during the 60-day period immediately preceding the date of applying for homeless assistance; and

(iv) Can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental health conditions, substance addiction, histories of domestic violence or childhood abuse (including neglect), the presence of a child or youth with a disability, or two or more barriers to employment, which include the lack of a high school degree or General Education Development (GED), illiteracy, low English proficiency, a history of incarceration or detention for criminal activity, and a history of unstable employment; or

(4) Any individual or family who:

(i) Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence;

(ii) Has no other residence; and

(iii) Lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, to obtain other permanent housing.

4.2 As set forth in 24 CFR 576.2, the term “At-Risk of Homelessness” is defined as:

(1) An individual or family who:

(i) Has an annual income below 30 percent of median family income for the area, as determined by HUD;

(ii) Does not have sufficient resources or support networks, e.g., family, friends, faith-based or other social networks, immediately available to prevent them from moving to an emergency shelter or another place described in paragraph (1) of the “homeless” definition in this section; and

(iii) Meets one of the following conditions:

(A) Has moved because of economic reasons two or more times during the 60 days immediately preceding the application for homelessness prevention assistance;

(B) Is living in the home of another because of economic hardship;

(C) Has been notified in writing that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance;

(D) Lives in a hotel or motel and the cost of the hotel or motel stay is not paid by charitable organizations or by Federal, State, or local government programs for low-income individuals;

(E) Lives in a single-room occupancy or efficiency apartment unit in which there reside more than two persons or lives in a larger housing unit in which more than 1.5 persons reside per room, as defined by the U.S. Census Bureau;

(F) Is exiting a publicly funded institution, or system of care (such as a health-care facility, a mental health facility, foster care or other youth facility, or correction program or institution); or

(G) Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient's approved consolidated plan;

(2) A child or youth who does not qualify as “homeless” under this section, but qualifies as “homeless” under section 387(3) of the Runaway and Homeless Youth Act (42 U.S.C. 5732a(3)), section 637(11) of the Head Start Act (42 U.S.C. 9832(11)), section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2(6)), section 330(h)(5)(A) of the Public Health Service Act (42 U.S.C. 254b(h)(5)(A)), section 3(m) of the Food and Nutrition Act of 2008 (7 U.S.C. 2012(m)), or section 17(b)(15) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)(15)); or

(3) A child or youth who does not qualify as “homeless” under this section, but qualifies as “homeless” under section 725(2) of the McKinney–Vento Homeless Assistance Act (42 U.S.C. 11434a(2)), and the parent(s) or guardian(s) of that child or youth if living with her or him.

5. Eligible Activities

5.1 Emergency Solution Grant funding may be used for five program activities as set forth in 24 CFR 576.100(a): street outreach, emergency shelter, homelessness prevention, rapid re-housing assistance, and HMIS. These activities are further detailed in Sections 6 through 9, below.

6. Street Outreach

6.1 Street outreach, as set forth in 24 CFR 576.101, consists of the costs of 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.

- 6.2 Eligible Street Outreach Activities (in accordance with 24 CFR 576 , Subpart B) include:
1. Engagement;
 2. Case Management;
 3. Emergency Mental Health Services; and
 4. Transportation

7. Emergency Shelter

7.1 The Emergency Shelter component of ESG, as set forth in 24 CFR 576.102, may be used to provide essential services to homeless families and individuals in emergency shelters, to renovate buildings to be used as emergency shelter for homeless families and individuals, and to operate emergency shelters.

7.2. **Emergency Shelter Services** are essential services to emergency shelter residents. These services may include case management, childcare, employment assistance, life skills, behavioral health services. Individuals and families must be verified as literally homeless or fleeing/attempting to flee domestic violence. There is no income threshold at intake for this activity. ESG funds may be used to provide essential services to homeless individuals and families residing in emergency shelters. An emergency shelter is any facility, the primary purpose of which is to provide a temporary shelter for the homeless in general or for specific populations of the homeless and which does not require occupants to sign leases or occupancy agreements.

7.2.1 Emergency Shelter Services, in accordance with 24 CFR 576 , Subpart B) include:

1. Case management
2. Child care
3. Education services
4. Employment assistance and job training
5. Outpatient health services
6. Legal services
7. Life skills training
8. Mental health services
9. Substance abuse treatment services
10. Transportation.

7.2.2 Where the recipient or subrecipient uses ESG funds solely for essential services or shelter operations, the recipient or subrecipient must provide services or shelter to homeless individuals and families at least for the period during which the ESG funds are provided. The recipient or subrecipient does not need to limit these services or shelter to a particular site or structure, so long as the site or structure serves the same type of persons originally served with the assistance (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or serves homeless persons in the same area where the recipient or subrecipient originally provided the services or shelter.

7.2.3 Subrecipients must comply with all requirements contained in Attachment F, Shelter

Support Recordkeeping and Reporting Requirements.

7.3 Shelter Rehabilitation, Renovation and Conversion, as set forth in 24 CFR 576.101(b)(2) includes labor, materials, tools, and other costs for renovation (including major rehabilitation of an emergency shelter or conversion of a building into an emergency shelter). The emergency shelter must be owned by a government entity or private nonprofit organization.

7.3.1 If such activity is included as an eligible cost in Attachments B and C of the particular contract between the ESG subrecipient and the City, then ESG funds may be used for costs of renovating buildings to be used as emergency shelter for homeless families and individuals or to convert a building for use as an emergency shelter. Eligible costs include labor, materials, tools and other costs for renovation (including major rehabilitation of an emergency shelter or conversion of a building into an emergency shelter). The emergency shelter must be owned by a government or private nonprofit organization. For the purposes of this Section, the subrecipient may also be referred to as “lessee”. Grant amounts may not be used to renovate, rehabilitate, or convert buildings owned by primarily religious organizations or entities, unless the following conditions are met:

1. The building (or portion thereof) that is to be improved with HUD assistance has been leased to an existing or newly established wholly secular entity (which may be an entity established by the religious organization);
2. The HUD assistance is provided to the lessee (and not the lessor) to make the improvements;
3. The leased premises will be used exclusively for secular purposes and available to all persons regardless of religion;
4. The lease payments do not exceed the fair market rent of the premises as they were before the improvements are made;
5. The portion of the cost of any improvements that also serves a non-leased part of the building will be allocated to and paid for by the lessor;
6. The lessor enters into a binding agreement requiring that unless the lessee (or a qualified successor lessee) retains the use of the leased premises for a wholly secular purpose for at least the useful life of the improvement, the lessor will pay the lessee an amount equal to the residual value of the improvements. In such an event, the lessee must remit such amount to HUD (or such other original grantee from which the funds to renovate, rehabilitate, or convert the building under this paragraph 24 CFR 576.101(b)(2) were derived). For example, if the funds under this paragraph initially were made available to the State or to a unit of general local government as a formula allocation (Section 575.31) or a reallocation (Section 575.41), then the amount that the lessor pays (through the lessee) is remitted to that State or unit of general local government, as applicable. The original grantee may use this amount to further the objectives of this regulation. If, however, a private nonprofit organization is the lessee as well as the grantee, the organization must remit the amount referred to in this subsection to HUD; and
7. The lessee may also enter into a management contract authorizing the lessor religious organization (if applicable) to operate the facility, including the provisions of essential services, in carrying out the secular purpose. In such case, the religious organization must

agree in the management contract to carry out its contractual responsibilities in a manner free of religious influences pursuant to conditions prescribed by HUD.

7.3.2 Each building renovated with ESG funds must be maintained as a shelter for homeless individuals and families for not less than a period of three (3) or ten (10) years (“minimum use period”), depending on the type of renovation and the value of the building. The minimum use period must begin on the date the building is first occupied by a homeless individual or family after the completed renovation. If the rehabilitation cost of the shelter exceeds 75% of the value of the building before rehabilitation (e.g. major rehabilitation) the minimum period of use is ten (10) years. If the cost to convert a building into an emergency shelter exceeds 75% of the value of the building after conversion, the minimum period of use is ten (10) years. In all other cases where ESG funds are used for renovation, the minimum period of use is three (3) years. The minimum period of use of ten (10) years, required for rehabilitation and conversion must be enforced by a recorded deed or use restriction.

7.3.3 Any building renovated, converted or rehabbed using ESG funds must meet local government regulations, including building code and sanitary code.

7.3.4 Grant amounts may not be used for acquisition or construction of an emergency shelter for the homeless.

7.4 Emergency Shelter Operations, as set forth in 24 CFR 576.102(b)(3), are the costs of maintenance (including minor or routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, and supplies necessary for the operation of the emergency shelter. Where no appropriate emergency shelter is available for a homeless family or individual, eligible costs may also include a hotel or motel voucher for that family or individual. There is no income threshold at intake for this activity.

7.4.1 The age of a child under age 18 shall not be a basis for denying any family's admission to an emergency shelter that uses ESG funding or services and provides shelter to families with children under age 18.

7.4.2 Subrecipients shall comply with all requirements Shelter Support Recordkeeping and Reporting Requirements, including as set forth in Attachment F.

7.4.3 Where the subrecipient uses ESG funds solely for essential services or shelter operations, the subrecipient shall provide services or shelter to homeless individuals and families at least for the period during which the ESG funds are provided. The subrecipient does not need to limit these services or shelter to a particular site or structure, so long as the site or structure serves the same type of persons originally served with the assistance (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or serves homeless persons in the same area where the recipient or subrecipient originally provided the services or shelter.

7.4.4 Shelter Support recipients shall comply with the Shelter Support Recordkeeping and

Reporting Requirements including as set forth in Attachment F.

8. Homeless Prevention

8.1 Homeless Prevention Assistance, as set forth in 24 CFR 576.103, may be used to provide housing relocation and stabilization services and short- and/or medium-term rental assistance necessary to prevent an individual or family from moving into an emergency shelter or another place described in paragraph (1) of the “homeless” definition in Section 576.2.

8.2 This assistance, referred to as “homelessness prevention,” may be provided to individuals and families who meet the criteria under the “at risk of homelessness” definition, or who meet the criteria in paragraph (2), (3), or (4) of the “homeless” definition in 24 CFR Section 576.2 and have an annual income below 30 percent of median family income for the area, as determined by HUD. At re-evaluation - not less than once every three months - the participant must have an annual income below 30% AMI.

8.3 The costs of homelessness prevention are only eligible to the extent that the assistance is necessary to help the program participant regain stability in the program participant's current permanent housing or move into other permanent housing and achieve stability in that housing. Homelessness prevention must be provided in accordance with the housing relocation and stabilization services requirements in 24 CFR Section 576.105, the short-term and medium-term rental assistance requirements in 24 CFR Section 576.106, and the written standards and procedures established under 24 CFR Section 576.400.

8.4 Eligible Homelessness Prevention activities (in accordance with 24 CFR 576 , Subpart B) include:

- **Financial assistance costs**
 - Rental application fees
 - Security deposits equal to no more than 2 months’ rent
 - Last month’s rent
 - This assistance must not exceed one month's rent and must be included in calculating the program participant's total rental assistance, which cannot exceed 24 months during any 3–year period.
 - Utility deposits
 - Utility payments (up to 24 months including 6 months arrearage per service)
 - A partial payment of a utility bill counts as one month.
 - This assistance may only be provided if the program participant or a member of the same household has an account in his or her name with a utility company or proof of responsibility to make utility payments.
 - Eligible utility services are gas, electric, water, and sewage.
 - Moving costs
 - Temporary storage fees for up to 3 months (no storage fees in arrears)

- **Note: Late payment penalties are NOT an eligible ESG expense. The recipient or subrecipient is solely responsible for paying late payment penalties that it incurs with non-ESG funds.**
- **Service costs**
 - Housing search and placement
 - Housing stability case management - See Section 10 for eligible activities and requirements
 - Mediation
 - Must be between the program participant and the owner or person(s) with whom the program participant is living, provided the mediation is necessary to prevent the program participant from losing permanent housing in which the program participant currently resides.
 - Legal services
 - Must include landlord/tenant matters, and services must be necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing the permanent housing in which the program participant currently resides.
 - Credit repair/Counseling Services
- Short-term (3 months) and medium-term rental assistance (up to 24 months)
- Payment of rental arrears consists of a one-time payment for up to 6 months of rent in arrears, including any late fees on those arrears.

8.5 Housing/stabilization services must occur at least monthly for 12 months. Prevention assistance will be targeted to families at imminent risk of eviction. Subrecipients will use standard intake/assessment forms intended to determine eligibility and also to highlight other strengths and/or challenges for the household. Prevention services may also be secondarily targeted toward housed individuals for the purposes of eviction prevention. These services would focus on intervention and/or financial assistance as needed to prevent an imminent episode of homelessness.

8.6 The amount of assistance should reflect the cost for the individual or family to stay in place, move, or establish a new tenancy, **up to a maximum of \$4,000 per household within 24 months during any three year period**. Agencies may request a waiver to the \$4,000 maximum per household limit in writing to the City of Worcester under hardship circumstances only. Approval of this waiver is solely at the discretion of the City. This assistance may be in the form of short-term rental assistance, medium-term rental assistance, payment of rental arrears, or any combination of this assistance. Participants must not be receiving the same type of financial assistance (i.e. prevention, re-housing, or stabilization) during the same time period from another Federal or State source. Providers must re-evaluate participants' eligibility and the types and amounts of prevention assistance needed not less than once every three months. Except as

provided for housing stability case management, **no program participant may receive more than 24 months of assistance in a three-year period.**

8.7 Subrecipients must conduct an initial eligibility intake and assessment to determine eligibility and level of need. **Re-evaluations of each program participants' eligibility as well as types and amounts of assistance the program participant needs must be conducted on a QUARTERLY BASIS** for participants receiving rapid re-housing assistance. At a minimum, the re-evaluation must establish that:

- The program participant does not have an annual income that exceeds 30 percent of median family income for the area, as determined by HUD; and
- The program participant lacks sufficient resources and support networks necessary to retain housing without ESG assistance.

Additionally, when notified of a relevant change to the program participant's income or other circumstances that effect the participant's need for assistance under ESG, the recipient or subrecipient must re-evaluate the program participant's eligibility and the amount and types of assistance the program participant needs.

8.8 All assisted units must be documented by a lease. Project-based rental assistance leases must have an initial term of not less than one year. Rental agreements between the subrecipient and the property owner must set forth terms under which assistance will be provided by the subrecipient to the owner on behalf of the participating household. The written lease must include the tenant's name, address of the unit, term of tenancy, move in date, rent amount, who is responsible for the utilities and must be signed by both parties and dated. The Subrecipient must have a copy of the signed lease prior to authorizing any payments to the property owner.

8.9 The lease is **not** the Rental Assistance Agreement (RA). The RA must be between the Subrecipient and the property owner and must document the terms of assistance, including requirement the property owner submit to the subrecipient a copy of any notice to the tenant that could lead to an eviction. **The RA is required to be executed before any payment is made to the property owner.**

8.10 Assisted units **must be at or below Fair Market Rent (FMR) for area and unit size for rent and utilities.**

8.11 The subrecipient shall document "rent reasonableness" using the form in Attachment D. Rent reasonableness shows that the rent of the unit is reasonable in relation to comparable units and provides documented data for units comparable in size, location and rent amounts.

8.12 Subrecipients must comply with all Homeless Prevention Recordkeeping and Reporting Requirements, including as set forth in Attachment D.

9. Rapid Re-Housing

9.1 Rapid Re-Housing Assistance, as set forth in 24 CFR 576.104, may be used to provide housing relocation and stabilization services and short- and/or medium-term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing.

9.2 This assistance, referred to as rapid re-housing assistance, may be provided to program participants who meet the criteria of being homeless and live in an emergency shelter. The rapid re-housing assistance must be provided in accordance with the housing relocation and stabilization services requirements in Section 576.105, the short- and medium-term rental assistance requirements in Section 576.106, and the written standards and procedures established under Section 576.400.

9.3. For Rapid Re-Housing, an income assessment is not required at initial evaluation. However, at annual re-evaluation, the client's income must be below 30% AMI.

9.4. Eligible Rapid Re-housing Assistance activities (in accordance with 24 CFR 576 , Subpart B) include:

- **Financial assistance costs**
 - Rental application fees
 - Security deposits equal to no more than 2 months' rent
 - Last month's rent
 - This assistance must not exceed one month's rent and must be included in calculating the program participant's total rental assistance, which cannot exceed 24 months during any 3-year period.
 - Utility deposits
 - Utility payments (up to 24 months including 6 months arrearage per service)
 - A partial payment of a utility bill counts as one month.
 - This assistance may only be provided if the program participant or a member of the same household has an account in his or her name with a utility company or proof of responsibility to make utility payments.
 - Eligible utility services are gas, electric, water, and sewage.
 - Moving costs
 - Temporary storage fees for up to 3 months (no storage fees in arrears)
 - **Note: Late payment penalties are NOT an eligible ESG expense. The recipient or subrecipient is solely responsible for paying late payment penalties that it incurs with non-ESG funds.**
- **Service costs**
 - Housing search and placement
 - Housing stability case management – See Section 10 for eligible activities and requirements
 - Mediation
 - Must be between the program participant and the owner or person(s) with whom the program participant is living, provided the mediation is

necessary to prevent the program participant from losing permanent housing in which the program participant currently resides.

- Legal services
 - Must include landlord/tenant matters, and services must be necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing the permanent housing in which the program participant currently resides.
- Credit repair/Counseling Services
- Short-term (3 months) and medium-term rental assistance (up to 24 months)
- Payment of rental arrears consists of a one-time payment for up to 6 months of rent in arrears, including any late fees on those arrears.

9.5 Rapid Re-Housing services can only be provided for 30 days and only while homeless. ESG funds may be used to provide housing relocation and stabilization services and short and/or medium term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing. This assistance may be provided to program participants who meet the criteria of the homeless definition and live in an emergency shelter or other place described in the homeless definition. Rapid Re-housing assistance will be targeted to persons living in an emergency shelter or a place not meant for human habitation, which:

- Does not include Transitional Shelter Programs or Transitional Housing;
- Is a shelter where the shelter guest does not have to meet specific criteria other than being homeless with no place else to go;
- Is a shelter where the guests do not have to sign an occupancy agreement or program participation agreement to access the shelter;
- Is a shelter where the average length of stay is less than 90 days.

9.6 The amount of assistance should reflect the cost for the individual or family to stay in place, move, or establish a new tenancy, **up to a maximum of \$4,000 per household within 24 months during any three year period.** Agencies may request a waiver to the \$4,000 maximum per household limit in writing to the City of Worcester under hardship circumstances only. Approval of this waiver is solely at the discretion of the City. This assistance may be in the form of short-term rental assistance, medium-term rental assistance, payment of rental arrears, or any combination of this assistance. Participants must not be receiving the same type of financial assistance (i.e. prevention, re-housing, or stabilization) during the same time period from another Federal or State source. Providers must re-evaluate participants' eligibility and the types and amounts of prevention

assistance needed not less than once every three months. Except as provided for housing stability case management, **no program participant may receive more than 24 months of assistance in a three-year period.**

9.7 Subrecipients must conduct an initial eligibility intake and assessment to determine eligibility and level of need. **Re-evaluations of each program participants' eligibility as well as types and amounts of assistance the program participant needs must be conducted not less than ANNUALLY** for participants receiving rapid re-housing assistance. At a minimum, the re-evaluation must establish that:

- The program participant does not have an annual income that exceeds 30 percent of median family income for the area, as determined by HUD; and
- The program participant lacks sufficient resources and support networks necessary to retain housing without ESG assistance.

Additionally, when notified of a relevant change to the program participant's income or other circumstances that affect the participant's need for assistance under ESG, the subrecipient must re-evaluate the program participant's eligibility and the amount and types of assistance the program participant needs.

9.8 All assisted units must be documented by a lease. Project-based rental assistance leases must have an initial term of not less than one year. Rental agreements between the subrecipient and the property owner must set forth terms under which assistance will be provided by the subrecipient to the owner on behalf of the participating household. The written lease must include the tenant's name, address of the unit, term of tenancy, move in date, rent amount, who is responsible for the utilities and must be signed by both parties and dated. The Subrecipient must have a copy of the signed lease prior to authorizing any payments to the property owner.

9.9 The lease is **not** the Rental Assistance Agreement (RA). The RA must be between the Subrecipient and the property owner and must document the terms of assistance, including requirement that the property owner submit to the Subrecipient a copy of any notice to the tenant that could lead to an eviction. **The RA is required to be executed before any payment is made to the property owner.**

9.10 Assisted units **must be at or below Fair Market Rent (FMR) for area and unit size for rent and utilities.**

9.11 The subrecipient shall document "rent reasonableness" using the form in Attachment D. Rent reasonableness shows that the unit rent is reasonable in relation to comparable units and provides documented data for units comparable in size, location and rent amounts.

9.12 Subrecipients must comply with all Rapid Re-Housing Recordkeeping and Reporting Requirements, set forth in Attachment E.

10. Housing Stability Case Management

10.1 ESG funds may be used to pay cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for a program participant who resides in permanent housing or to assist a program participant in overcoming immediate barriers to obtaining housing. This assistance cannot exceed 30 days during the period the program participant is seeking permanent housing and cannot exceed 24 months during the period the program participant is living in permanent housing. Component services and activities consist of:

- a. Using the centralized or coordinated assessment system as required under 24 CFR 576.400(d), to evaluate individuals and families applying for or receiving homelessness prevention or rapid re-housing assistance;
- b. Conducting the initial evaluation required under 24 CFR 576.401(a), including verifying and documenting eligibility, for individuals and families applying for homelessness prevention or rapid re-housing assistance;
- c. Counseling;
- d. Developing, securing, and coordinating services and obtaining Federal, State, and local benefits;
- e. Monitoring and evaluating program participant progress;
- f. Providing information and referrals to other providers;
- g. Developing an individualized housing and service plan, including planning a path to permanent housing stability; and
- h. Conducting re-evaluations required under 24 CFR 576.401(b).

10.2 While providing homelessness prevention or rapid re-housing assistance to a program participant, the recipient or subrecipient must:

- Require the program participant to meet with a case manager not less than once per month to assist the program participant in ensuring long-term housing stability; and
- Develop a 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 which the program participant will be eligible and likely to receive; and the relative affordability of available housing in the area.

10.3 The recipient or subrecipient is exempt from the requirement under paragraph (e)(1)(i) of

this section if the Violence Against Women Act of 1994 ([42 U.S.C. 13701 et seq.](#)) or the Family Violence Prevention and Services Act ([42 U.S.C. 10401 et seq.](#)) prohibits that recipient or subrecipient from making its shelter or housing conditional on the participant's acceptance of services.

11. Housing Information Management System (HMIS)

11.1 In accordance with regulations set forth at 24 CFR 576.107, the subrecipient may use ESG funds to pay the costs of contributing data to the HMIS designated by the Continuum of Care for the area, including the costs of:

- Purchasing or leasing computer hardware
- Purchasing software or software licenses
- Purchasing or leasing equipment, including telephones, fax machines, and furniture
- Obtaining technical support
- Leasing office space
- Paying charges for electricity, gas, water, phone service, and high-speed data transmission necessary to operate or contribute data to the HMIS
- Paying salaries for operating HMIS, including:
 - Completing data entry
 - Monitoring and reviewing data quality
 - Completing data analysis
 - Reporting to the HMIS Lead
 - Training staff on using the HMIS or comparable database
 - Implementing and complying with HMIS requirements
- Cost of staff to travel to and attend HUD–sponsored and HUD–approved training on HMIS and programs authorized by Title IV of the McKinney–Vento Homeless Assistance Act
- Costs to conduct intake
- Participation fees charged by the HMIS Lead.

11.2 If the recipient is the HMIS lead agency, as designated by the Continuum of Care, it may also use ESG funds to pay the costs of:

- Hosting and maintaining HMIS software or data
- Backing up, recovering, or repairing HMIS software or data
- Upgrading, customizing, and enhancing the HMIS
- Integrating and warehousing data, including development of a data warehouse for use in aggregating data from subrecipients using multiple software system
- Administering the system
- Reporting to providers, the Continuum of Care, and HUD
- Conducting training on using the system or a comparable database, including traveling to the training

11.3 If the subrecipient is a victim services provider or a legal services provider, it may use

ESG funds to establish and operate a comparable database that collects client-level data over time (i.e., longitudinal data) and generates unduplicated aggregate reports based on the data. Information entered into a comparable database must not be entered directly into or provided to an HMIS.

11.4 Activities funded under this section must comply with HUD's standards on participation, data collection, and reporting under a local HMIS.

12. Ineligible ESG Activities

Ineligible costs include, but are not limited to:

- Assistance where other resources are available
- Recruitment or ongoing staff training
- Depreciation
- Costs associated with the organization rather than the facility (e.g. advertisements, pamphlets about the organization, surveys, etc.)
- Public relations
- Acquisition or new construction of an emergency shelter for the homeless
- Costs associated with the organization rather than the specific program renovation, rehabilitation, or conversion of structures used exclusively for religious purposes or which will otherwise promote religious interests except through the creation or utilization of a wholly secular entity
- Any costs associated with advertisements, pamphlets, surveys, etc.
- Staff training, entertainment, conferences or retreats
- Public relations or fundraising
- Recipient bad debts/late fees
- Program participant mortgage assistance/payments and any issues related to mortgages
- Recipient mortgage/debt service
- Indirect costs
- Legal services for immigration and citizenship matters
- Retainer fee arrangements and contingency fee arrangements
- Substance abuse treatments services for inpatient detoxification and other inpatient drug or alcohol treatment
- Payment of temporary storage fees in arrears
- Late payment penalties
- Purchase of office space
- Subrecipient post due taxes or late fees
- Repayment of utility or security deposits to the subrecipient not tracked as program income
- Construction or rehabilitation
- Credit card or other consumer debt
- Car repairs
- Program participant travel costs

- Medical or dental care and medicines
- Clothing and grooming
- Home furnishings
- Pet care
- Entertainment activities
- Work or education related materials
- Indirect costs
- Cash assistance to program participants
- Develop discharge planning programs in mainstream institutions such as hospitals, jails or prisons
- Funds issued directly to program participants
- Program fees
- Fees charged to the program applicant or participant

13. Case Management Requirements

13.1 In accordance with 24 CFR 576.401(e), while providing homelessness prevention or rapid re-housing assistance to a program participant, the subrecipient must:

- A. Require the program participant to meet with a case manager not less than once per month to assist the program participant in ensuring long-term housing stability; and
- B. Develop a 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 which the program participant will be eligible and likely to receive; and the relative affordability of available housing in the area.

13.2 The subrecipient is exempt from the requirement under paragraph (e)(1)(i) of this section if the Violence Against Women Act of 1994 (42 U.S.C. 13701 et seq.) or the Family Violence Prevention and Services Act (42 U.S.C. 10401 et seq.) prohibits that recipient or subrecipient from making its shelter or housing conditional on the participant's acceptance of services.

13.3 Case managers shall help connect households with appropriate services and financial assistance through other public and private homeless assistance and mainstream programs. Case managers shall keep clear and concise case notes documenting the meetings including their goals and outcomes.

14. Habitability Standards and Lead Based Paint Requirements

14.1 In accordance with 24 CFR 576.403, all units in which program participants receiving assistance live must meet HUD Habitability Standards. Subrecipients are required to complete the Emergency Solutions Grant Housing Shelter and Housing Standard Inspection Checklist (also known as the "Habitability Checklist") for all participants receiving financial assistance for

their housing units. This checklist can be found in Attachment C. The only exception to this requirement is in cases where only security deposit assistance and/or rental arrearage assistance is being provided.

14.2 All assisted units must meet federal lead paint requirements if the unit was constructed before 1978 and if a child under 6 and/or a pregnant woman is or will be residing in the unit. Subrecipients must document these inspections using the Habitability Checklist, which also addresses lead paint standards. The unit must meet ALL standards on the checklist or MAY NOT be used. The inspection must include, at a minimum:

- Verification of age of structure;
- Visual assessment and confirmation that paint surfaces are not chipping, cracking or peeling using the Habitability Checklist; and
- Verification that the unit has been de-lead or paint encapsulated from a Massachusetts approved de-leading vendor.

14.3 Subrecipients are highly encouraged to complete an online tutorial on completing lead based paint visual inspections which takes approximately 20 minutes to complete and is described at: <http://www.hud.gov/offices/lead/training/visualassessment/h00101.htm>. If any subrecipients already had a Habitability Checklist in place, they just need to make sure that the lead based paint assessment is included.

14.4 The habitability and visual lead inspections are not required to be completed by certified inspectors.

14.5 If a HUD approved inspection for Section 8 has been recently completed for the unit, a copy of that inspection report in the client's file is sufficient because the regulations governing Section 8 inspections are more stringent than those governing ESG inspections.

14.6 A lead-free certification for a unit can also be used to satisfy the lead paint requirement.

15. Termination of Assistance

15.1 In accordance with 24 CFR 576.402, if a program participant violates program requirements, the subrecipient may terminate the assistance in accordance with a formal process established by the subrecipient. That process must recognize the rights of individuals affected. The subrecipient 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. Subrecipient may terminate assistance to a program participant if the rules of the program are violated. The termination must be preceded by a due process to include, at a minimum:

- Written notification and clear statement of reasons for termination from the program;
- Opportunity to appeal to a third party; and

- Prompt appeal response.

Termination shall only happen in the most severe of cases and shall be clearly documented in the program participant's file.

15.2 With regard to program participants receiving rental assistance or housing relocation and stabilization services, to terminate such assistance or services, the required formal process, at a minimum, must consist of:

- (1) Written notice to the program participant containing a clear statement of the reasons for termination;
- (2) A review of the decision, in which the program participant is given the opportunity to present written or oral objections before a person other than the person (or a subordinate of that person) who made or approved the termination decision; and
- (3) Prompt written notice of the final decision to the program participant.

15.3 Termination under this section does not bar the subrecipient from providing further assistance at a later date to the same family or individual.

16. General Recordkeeping and Reporting Requirements

16.1 The subrecipient must have policies and procedures in place to ensure that ESG funds are used in accordance with the regulatory requirements. In addition, sufficient records must be established and maintained to enable the City and HUD to determine whether ESG requirements are being met.

16.2 In general, all clients receiving ESG assistance must have the following documentation included, but not limited to, in their case file:

- (i) Documentation of Homeless or At-risk Homeless Status (additional details regarding this documentation are provided below);
- (ii) Documentation of income (third-party verification whenever possible, if not then self declaration of income forms will suffice);
- (iii) In the form of case notes, evidence of *at least* an initial in-person consultation with a case manager including a needs assessment and formulation of a long-term plan for housing stability;
- (iv) HMIS Intake form at program entry;
- (v) Quarterly or annual re-evaluations, depending on program component; and
- (vi) HMIS Exit form upon program completion.

16.3 All subrecipients are required to use the forms included in Attachment C.

16.4 All clients provided with ESG assistance in the form of direct financial support (i.e., first last months rent, security deposits, moving costs, rental arrearages, utility arrearages or medium-term rental subsidies) must **also** have the following documentation included in their case file:

- (i) Lease or Rental Agreement;
- (ii) Rent Reasonableness Checklist; and
- (iii) Housing Habitability Standards Checklist

16.5 All program participants receiving Housing Relocation and Stabilization Services (i.e., General Case Management, Housing Search and Placement, Outreach and Engagement) must have case files with **detailed case notes** indicating the developments and progress made as a result of the ESG funded services, including clear documentation of the monthly stabilization meetings.

16.6 Subrecipients administering Shelter Support, Homeless Prevention and Rapid Re-housing activities shall use the State Department of Housing and Community Development (DHCD) reporting and recordkeeping requirements contained in Attachments F, G and H respectively as a guide for maintaining client files.

17. Documentation of Homeless Status

17.1 The subrecipient must maintain and follow written intake procedures to ensure compliance with the homeless definition in 24 CFR 576.2. The procedures must require documentation at intake of the evidence relied upon to establish and verify homeless status. The procedures must establish the order of priority for obtaining evidence as third-party documentation first, intake worker observations second, and certification from the person seeking assistance third. However, lack of third-party documentation must not prevent an individual or family from being immediately admitted to emergency shelter, receiving street outreach services, or being immediately admitted to shelter or receiving services provided by a victim service provider. Records contained in an HMIS or comparable database used by victim service or legal service providers are acceptable evidence of third-party documentation and intake worker observations if the HMIS retains an auditable history of all entries, including the person who entered the data, the date of entry, and the change made; and if the HMIS prevents overrides or changes of the dates on which entries are made.

17.2 If the individual or family qualifies as homeless under paragraph (1)(i) or (ii) of the homeless definition in 24 CFR 576.2, acceptable evidence includes a written observation by an outreach worker of the conditions where the individual or family was living, a written referral by another housing or service provider, or a certification by the individual or head of household seeking assistance.

17.3 If the individual qualifies as homeless under paragraph (1)(iii) of the homeless definition in 24 CFR 576.2, because he or she resided in an emergency shelter or place not meant for human habitation and is exiting an institution where he or she resided for 90 days or less,

acceptable evidence includes the evidence described in paragraph (b)(1) of this section and one of the following:

- Discharge paperwork or a written or oral referral from a social worker, case manager, or other appropriate official of the institution, stating the beginning and end dates of the time residing in the institution. All oral statements must be recorded by the intake worker; or
- Where the evidence in paragraph (b)(2)(i) of this section is not obtainable, a written record of the intake worker's due diligence in attempting to obtain the evidence described in paragraph (b)(2)(i) and a certification by the individual seeking assistance that states he or she is exiting or has just exited an institution where he or she resided for 90 days or less.

17.4 If the individual or family qualifies as homeless under paragraph (2) of the homeless definition in 24 CFR 576.2, because the individual or family will imminently lose their housing, the evidence must include:

- A court order resulting from an eviction action that requires the individual or family to leave their residence within 14 days after the date of their application for homeless assistance; or the equivalent notice under applicable state law, a Notice to Quit, or a Notice to Terminate issued under state law;
 - For individuals and families whose primary nighttime residence is a hotel or motel room not paid for by charitable organizations or federal, state, or local government programs for low-income individuals, evidence that the individual or family lacks the resources necessary to reside there for more than 14 days after the date of application for homeless assistance; or
 - An oral statement by the individual or head of household that the owner or renter of the housing in which they currently reside will not allow them to stay for more than 14 days after the date of application for homeless assistance. The intake worker must record the statement and certify that it was found credible. To be found credible, the oral statement must either: (I) be verified by the owner or renter of the housing in which the individual or family resides at the time of application for homeless assistance and documented by a written certification by the owner or renter or by the intake worker's recording of the owner or renter's oral statement; or (II) if the intake worker is unable to contact the owner or renter, be documented by a written certification by the intake worker of his or her due diligence in attempting to obtain the owner or renter's verification and the written certification by the individual or head of household seeking assistance that his or her statement was true and complete;
- Certification by the individual or head of household that no subsequent residence has

been identified; and

- Certification or other written documentation that the individual or family lacks the resources and support networks needed to obtain other permanent housing.

17.5 If the individual or family qualifies as homeless under paragraph (3) of the homeless definition in 24 CFR 576.2, because the individual or family does not otherwise qualify as homeless under the homeless definition but is an unaccompanied youth under 25 years of age, or homeless family with one or more children or youth, and is defined as homeless under another Federal statute or section 725(2) of the McKinney–Vento Homeless Assistance Act ([42 U.S.C. 11434a\(2\)](#)), the evidence must include:

- For paragraph (3)(i) of the homeless definition in 24 CFR 576.2, certification of homeless status by the local private nonprofit organization or state or local governmental entity responsible for administering assistance under the Runaway and Homeless Youth Act ([42 U.S.C. 5701 et seq.](#)), the Head Start Act ([42 U.S.C. 9831 et seq.](#)), subtitle N of the Violence Against Women Act of 1994 ([42 U.S.C. 14043e et seq.](#)), section 330 of the Public Health Service Act ([42 U.S.C. 254b](#)), the Food and Nutrition Act of 2008 ([7 U.S.C. 2011 et seq.](#)), section 17 of the Child Nutrition Act of 1966 ([42 U.S.C. 1786](#)), or subtitle B of title VII of the McKinney–Vento Homeless Assistance Act ([42 U.S.C. 11431 et seq.](#)), as applicable;
- For paragraph (3)(ii) of the homeless definition in 24 CFR 576.2, referral by a housing or service provider, written observation by an outreach worker, or certification by the homeless individual or head of household seeking assistance;
- For paragraph (3)(iii) of the homeless definition in 24 CFR 576.2, certification by the individual or head of household and any available supporting documentation that the individual or family moved two or more times during the 60–day period immediately preceding the date of application for homeless assistance, including: recorded statements or records obtained from each owner or renter of housing, provider of shelter or housing, or social worker, case worker, or other appropriate official of a hospital or institution in which the individual or family resided; or, where these statements or records are unobtainable, a written record of the intake worker's due diligence in attempting to obtain these statements or records. Where a move was due to the individual or family fleeing domestic violence, dating violence, sexual assault, or stalking, then the intake worker may alternatively obtain a written certification from the individual or head of household seeking assistance that they were fleeing that situation and that they resided at that address; and

17.6 For paragraph (3)(iv) of the homeless definition in 24 CFR 576.2, written diagnosis from a professional who is licensed by the state to diagnose and treat that condition (or intake staff-recorded observation of disability that within 45 days of date of the application for assistance is confirmed by a professional who is licensed by the state to diagnose and treat that condition); employment records; department of corrections records; literacy, English proficiency tests; or

other reasonable documentation of the conditions required under paragraph (3)(iv) of the homeless definition.

17.7 If the individual or family qualifies under paragraph (4) of the homeless definition in 24 CFR 576.2, because the individual or family is fleeing domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions related to violence, then acceptable evidence includes an oral statement by the individual or head of household seeking assistance that they are fleeing that situation, that no subsequent residence has been identified and that they lack the resources or support networks, e.g., family, friends, faith-based or other social networks, needed to obtain other housing. If the individual or family is receiving shelter or services provided by a victim service provider, the oral statement must be documented by either a certification by the individual or head of household; or a certification by the intake worker. Otherwise, the oral statement that the individual or head of household seeking assistance has not identified a subsequent residence and lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, needed to obtain housing must be documented by a certification by the individual or head of household that the oral statement is true and complete, and, where the safety of the individual or family would not be jeopardized, the domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening condition must be verified by a written observation by the intake worker or a written referral by a housing or service provider, social worker, legal assistance provider, health-care provider, law enforcement agency, legal assistance provider, pastoral counselor, or any other organization from whom the individual or head of household has sought assistance for domestic violence, dating violence, sexual assault, or stalking. The written referral or observation need only include the minimum amount of information necessary to document that the individual or family is fleeing, or attempting to flee domestic violence, dating violence, sexual assault, and stalking.

18. Documentation of At-Risk of Homelessness Status

18.1 For each individual or family who receives ESG homelessness prevention assistance, the records must include the evidence relied upon to establish and verify the individual or family's "at risk of homelessness" status. This evidence must include an intake and certification form that meets HUD specifications and is completed by the recipient or subrecipient. The evidence must also include:

18.2 If the program participant meets the criteria under paragraph (1) of the "at risk of homelessness" definition in 24 CFR 576.2:

- The documentation specified under this section for determining annual income;
- The program participant's certification on a form specified by HUD that the program participant has insufficient financial resources and support networks; e.g., family, friends, faith-based or other social networks, immediately available to attain housing stability and meets one or more of the conditions under paragraph (1)(iii) of the definition of "at risk of homelessness" in 24 CFR 576.2;

- The most reliable evidence available to show that the program participant does not have sufficient resources or support networks; e.g., family, friends, faith-based or other social networks, immediately available to prevent them from moving to an emergency shelter or another place described in paragraph (1) of the “homeless” definition. Acceptable evidence includes:
 - Source documents (e.g., notice of termination from employment, unemployment compensation statement, bank statement, health-care bill showing arrears, utility bill showing arrears);
 - To the extent that source documents are unobtainable, a written statement by the relevant third party (e.g., former employer, public administrator, relative) or the written certification by the recipient's or subrecipient's intake staff of the oral verification by the relevant third party that the applicant meets one or both of the criteria under paragraph (1)(ii) of the definition of “at risk of homelessness” in 24 CFR 576.2; or
 - To the extent that source documents and third-party verification are unobtainable, a written statement by the recipient's or subrecipient's intake staff describing the efforts taken to obtain the required evidence; and
- The most reliable evidence available to show that the program participant meets one or more of the conditions under paragraph (1)(iii) of the definition of “at risk of homelessness” in 24 CFR 576.2. Acceptable evidence includes:
 - Source documents that evidence one or more of the conditions under paragraph (1)(iii) of the definition (e.g., eviction notice, notice of termination from employment, bank statement);
 - To the extent that source documents are unobtainable, a written statement by the relevant third party (e.g., former employer, owner, primary leaseholder, public administrator, hotel or motel manager) or the written certification by the recipient's or subrecipient's intake staff of the oral verification by the relevant third party that the applicant meets one or more of the criteria under paragraph (1)(iii) of the definition of “at risk of homelessness”; or
 - To the extent that source documents and third-party verification are unobtainable, a written statement by the recipient's or subrecipient's intake staff that the staff person has visited the applicant's residence and determined that the applicant meets one or more of the criteria under paragraph (1)(iii) of the definition or, if a visit is not practicable or relevant to the determination, a written statement by the recipient's or subrecipient's intake staff describing the efforts taken to obtain the required evidence; or

18.3 If the program participant meets the criteria under paragraph (2) or (3) of the “at risk of

homelessness” definition in 24 CFR 576.2, certification of the child or youth's homeless status by the agency or organization responsible for administering assistance under the Runaway and Homeless Youth Act ([42 U.S.C. 5701 et seq.](#)), the Head Start Act ([42 U.S.C. 9831 et seq.](#)), subtitle N of the Violence Against Women Act of 1994 ([42 U.S.C. 14043e et seq.](#)), section 330 of the Public Health Service Act ([42 U.S.C. 254b](#)), the Food and Nutrition Act of 2008 ([7 U.S.C. 2011 et seq.](#)), section 17 of the Child Nutrition Act of 1966 ([42 U.S.C. 1786](#)) or subtitle B of title VII of the McKinney–Vento Homeless Assistance Act ([42 U.S.C. 11431 et seq.](#)), as applicable.

19. Additional Recordkeeping Requirements

19.1 In addition to evidence of homeless status or “at risk of homelessness” status, as applicable, records must be kept for each program participant that document:

- The services and assistance provided to that program participant, including, as applicable, the security deposit, rental assistance, and utility payments made on behalf of the program participant;
- Compliance with the applicable requirements for providing services and assistance to that program participant under the program components and eligible activities provisions at 24 CFR 576.101 through 24 CFR 576.106, the provision on determining eligibility and amount and type of assistance at 24 CFR 576.401(a) and (b), and the provision on using appropriate assistance and services at 24 CFR 576.401(d) and (e); and
- Where applicable, compliance with the termination of assistance requirement in 24 CFR 576.402.

19.2 The subrecipient must keep documentation evidencing the use of, and written intake procedures for, the centralized or coordinated assessment system(s) developed by the Continuum of Care(s) in accordance with the requirements established by HUD.

19.3 The records must include copies of all leases and rental assistance agreements for the provision of rental assistance, documentation of payments made to owners for the provision of rental assistance, and supporting documentation for these payments, including dates of occupancy by program participants.

19.4 The records must document the monthly allowance for utilities (excluding telephone) used to determine compliance with the rent restriction.

19.5 The records must include documentation of compliance with the shelter and housing standards in 24 CFR 576.403, including habitability checklists.

19.6 The subrecipient must keep records of the participation in HMIS or a comparable database by all projects of the recipient and its subrecipients.

19.7 The subrecipient must keep records of the source and use of contributions made to satisfy

the matching requirement in 24 CFR 576.201. The records must indicate the particular fiscal year grant for which each matching contribution is counted. The records must show how the value placed on third-party, noncash contributions was derived. To the extent feasible, volunteer services must be supported by the same methods that the organization uses to support the allocation of regular personnel costs.

19.8 The subrecipient must document its compliance with the homeless participation requirements under 24 CFR 576.405.

19.9 The subrecipient must develop and implement written procedures to ensure:

- All records containing personally identifying information (as defined in HUD's standards for participation, data collection, and reporting in a local HMIS) of any individual or family who applies for and/or receives ESG assistance will be kept secure and confidential;
- The address or location of any domestic violence, dating violence, sexual assault, or stalking shelter project assisted under the ESG will not be made public, except with written authorization of the person responsible for the operation of the shelter; and
- The address or location of any housing of a program participant will not be made public, except as provided under a preexisting privacy policy of the recipient or subrecipient and consistent with state and local laws regarding privacy and obligations of confidentiality.

19.10 The confidentiality procedures of the recipient and its subrecipients must be in writing and must be maintained in accordance with this section.

19.11 For each individual and family determined ineligible to receive ESG assistance, the record must include documentation of the reason for that determination.

- Annual income. For each program participant who receives homelessness prevention assistance, or who receives rapid re-housing assistance longer than one year, the following documentation of annual income must be maintained:
 - Income evaluation form containing the minimum requirements specified by HUD and completed by the recipient or subrecipient; and
 - Source documents for the assets held by the program participant and income received over the most recent period for which representative data is available before the date of the evaluation (e.g., wage statement, unemployment compensation statement, public benefits statement, bank statement);
 - To the extent that source documents are unobtainable, a written statement by the relevant third party (e.g., employer, government benefits administrator) or the

written certification by the recipient's or subrecipient's intake staff of the oral verification by the relevant third party of the income the program participant received over the most recent period for which representative data is available; or

- To the extent that source documents and third party verification are unobtainable, the written certification by the program participant of the amount of income the program participant received for the most recent period representative of the income that the program participant is reasonably expected to receive over the 3-month period following the evaluation.

20. Match Requirements

20.1 In accordance with 24 CFR 576.201, a subrecipient is required to make matching contributions to supplement its ESG program in an amount that equals the amount of ESG funds provided by the City.

20.2 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 subrecipient must ensure the laws governing any funds to be used as matching contributions do not prohibit those funds from being used to match 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.

20.3 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 24 CFR 576.100.

20.4 The matching contributions must be provided after the date that HUD signs the grant agreement and must be expended within the expenditure deadline for the grant.

20.5 Contributions used to match a previous ESG grant may not be used to match a subsequent ESG grant.

20.6 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.

20.7 The matching requirement may be met by one or both of the following:

(i) Cash contributions. Cash expended for allowable costs, as set forth in 2 CFR Part 225 and 2 CFR Part 230, of the subrecipient;

(ii) Noncash contributions. The value of any real property, equipment, goods, or services contributed to the subrecipient's ESG program, provided that if the 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. 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. 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. 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.

21. Key Monitoring Elements

When monitoring subrecipients, the City shall be reviewing, at a minimum, the following:

- Proper policies and procedures for determining and documenting participant eligibility, administering financial assistance and providing services to participants.
- Proper and consistent use of all required forms in Attachment C.
- Proper documentation of participant eligibility including homeless/at risk of homelessness status and income eligibility.
- Proper documentation of assessed need including proper intake assessments and proof of lack of other resources available to participants.
- Activity-specific documentation including clear, detailed case notes that include referrals and services provided, rental documentation, utility records, writ of summary process and complaint, etc.
- Data collection/HMIS data sets
- Staff time records including detailed, signed ESG time tracked using time and effort logs.
- Financial documentation including back-up documentation for all program expenditures that can be specifically tied to the ESG grant.
- 100% of the award must be matched with documented cash or leveraged resources clearly tracked with appropriate back-up.
- Lease documents, copies of checks paid to landlords and Habitability Checklists for all assisted units.

ESG Participant Eligibility Documentation Checklist

ESG Participant Head of Household Name: _____

Initial or Re-Assessment: <input checked="" type="checkbox"/>	Date:	ESG Staff Initials:
<input type="checkbox"/> Initial Eligibility Assessment		
<input type="checkbox"/> Eligibility Re-Assessment		

In File (Always Applicable) <input checked="" type="checkbox"/>	Documentation
<input type="checkbox"/>	COMPLETED INITIAL/RECERTIFICATION CONSULTATION – ESG staff assessment with applicant/participant to determine eligibility and appropriate assistance type and amount (or recertify eligibility and reassess appropriate assistance type and amount).

Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSEHOLD INCOME – Documentation of each identified source of current income for the household and documentation of household income calculation indicating household income at or below 30% Area Median Income
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	WAGES & SALARY <input type="checkbox"/> Written Third Party: Copy of most recent paystub(s) OR other written verification from employer – OR – <input type="checkbox"/> Oral Third Party: Verification of income form or other case file record of income information obtained verbally by ESG staff <input type="checkbox"/> Brief, written explanation by ESG staff for using oral third party – OR – <input type="checkbox"/> Self-Declaration: Applicant self-declaration of income statement <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	SELF EMPLOYMENT/BUSINESS INCOME <input type="checkbox"/> Written Third Party: Copy of most recent federal or state tax return showing net business income – OR – <input type="checkbox"/> Self-Declaration: Applicant self-declaration of income statement <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	INTEREST & DIVIDEND INCOME <input type="checkbox"/> Written Third Party: Copy of most recent interest or dividend income statement OR Copy of most recent federal or state tax return showing interest, dividend or other net income – OR – <input type="checkbox"/> Self-Declaration: Applicant self-declaration of income statement <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration
<input type="checkbox"/> YES	<input type="checkbox"/>	PENSION/RETIREMENT INCOME <input type="checkbox"/> Written Third Party: Copy of most recent payment statement OR benefit notice OR bank deposit statement OR other written verification from income source

Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSEHOLD INCOME -- Documentation of each identified source of current income for the household and documentation of household income calculation indicating household income at or below 30% Area Median Income
<input type="checkbox"/> NO		<p>-- OR --</p> <p><input type="checkbox"/> Oral Third Party: Verification of income form or other case file record of income information obtained by ESG staff</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using oral third party</p> <p>-- OR --</p> <p><input type="checkbox"/> Self-Declaration: Applicant self-declaration of income statement</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration</p>
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	<p>UNEMPLOYMENT & DISABILITY INCOME</p> <p><input type="checkbox"/> Written Third Party: Copy of most recent payment statement OR benefit notice OR bank deposit statement OR other written verification from income source</p> <p>-- OR --</p> <p><input type="checkbox"/> Oral Third Party: Verification of income form or other case file record of income information obtained by ESG staff</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using oral third party</p> <p>-- OR --</p> <p><input type="checkbox"/> Self-Declaration: Applicant self-declaration of income statement</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration</p>
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	<p>TANF/PUBLIC ASSISTANCE</p> <p><input type="checkbox"/> Written Third Party: Copy of most recent payment statement OR benefit notice OR bank deposit statement OR other written verification from income source</p> <p>-- OR --</p> <p><input type="checkbox"/> Oral Third Party: Verification of income form or other case file record of income information obtained by ESG staff</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using oral third party</p> <p>-- OR --</p> <p><input type="checkbox"/> Self-Declaration: Applicant self-declaration of income statement</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration</p>
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	<p>ALIMONY, CHILD SUPPORT AND FOSTER CARE INCOME</p> <p><input type="checkbox"/> Written Third Party: Copy of most recent payment statement OR benefit notice OR bank deposit statement OR other written verification from income source</p> <p>-- OR --</p> <p><input type="checkbox"/> Oral Third Party: Verification of income form or other case file record of income information obtained by ESG staff</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using oral third party</p> <p>-- OR --</p> <p><input type="checkbox"/> Self-Declaration: Applicant self-declaration form</p> <p><input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration</p>
<input type="checkbox"/> YES	<input type="checkbox"/>	<p>ARMED FORCES INCOME</p> <p><input type="checkbox"/> Written Third Party: Copy of most recent paystub(s) OR other written verification from employer</p>

Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSEHOLD INCOME – Documentation of each identified source of current income for the household and documentation of household income calculation indicating household income at or below 30% Area Median Income
<input type="checkbox"/> NO		-- OR -- <input type="checkbox"/> Oral Third Party: Verification of income form or other case file record of income information obtained by ESG staff <input type="checkbox"/> Brief, written explanation by ESG staff for using oral third party -- OR -- <input type="checkbox"/> Self-Declaration: Applicant self-declaration form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	NO INCOME <input type="checkbox"/> Self-Declaration: Applicant self-declaration form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration (e.g., "Applicant reports no current income.")

In File (Always Applicable) <input checked="" type="checkbox"/>	HOUSEHOLD INCOME – Documentation of each identified source of current income for the household and documentation of household income calculation indicating household income at or below 30% Area Median Income
<input type="checkbox"/>	INCOME CALCULATION WORKSHEET – Documentation showing income calculation (estimated annual income based on current income) and comparison to Area Median Income.

Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSING STATUS - Documentation of the current living situation of the household.
<i>HOMELESS SITUATIONS [RAPID RE-HOUSING]</i>		
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	EMERGENCY SHELTER <input type="checkbox"/> Written Third Party: HMIS record of shelter stay OR homeless certification form OR emergency shelter provider letter
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	PLACE NOT MEANT FOR HUMAN HABITATION <input type="checkbox"/> Written Third Party: Homeless certification form OR homeless street outreach provider or referral source letter -- OR -- <input type="checkbox"/> Self-Declaration: Applicant self-declaration of homelessness form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	HOSPITAL OR OTHER INSTITUTION (if stay is 180 days or less and was in emergency shelter or place not meant for human habitation prior to admission) <input type="checkbox"/> Written Third Party: Letter from hospital or other institution -- AND -- <input type="checkbox"/> Written Third Party: HMIS record of shelter stay (if previously sleeping in emergency shelter) OR homeless certification form OR emergency shelter or homeless street outreach provider letter -- OR -- <input type="checkbox"/> Self-Declaration: Applicant self-declaration of homelessness form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration

Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSING STATUS - Documentation of the current living situation of the household.
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	TRANSITIONAL HOUSING (if graduating from or timing out of) <input type="checkbox"/> Written Third Party: Homeless certification form OR transitional housing provider letter
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	DOMESTIC VIOLENCE <input type="checkbox"/> Third Party verification (if available- Restraining order; Police report) Or <input type="checkbox"/> Self-Declaration: Applicant self-declaration of homelessness form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration (i.e., "Applicant is fleeing domestic violence situation.")
<i>HOUSED SITUATIONS [HOMELESSNESS PREVENTION]</i>		
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	COPY OF CURRENT LEASE OR OTHER WRITTEN OCCUPANCY AGREEMENT – For applicant, if renting OR for their host family/friend if doubled up. NOTE: "N/A" should only be checked if applicant (or their host) is a homeowner or if applicant is staying in a hospital, other institution, or hotel/motel. – <i>OR (if applicant is doubled up and attempt to obtain copy of host lease is unsuccessful)</i> – <input type="checkbox"/> Self-Declaration: Applicant self-declaration of housing status form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	RENTED BY APPLICANT (select applicable situation) <u>POTENTIAL HOUSING LOSS DUE TO NON-PAYMENT OF RENT OR OTHER VIOLATION</u> <input type="checkbox"/> Written Third Party: Copy of eviction notice or letter indicating intent to evict (typed or handwritten) from landlord/owner OR court order <u>POTENTIAL HOUSING LOSS DUE TO UTILITY NON-PAYMENT</u> <input type="checkbox"/> Written Third Party: Copy of utility shut-off notice – <i>AND</i> – <input type="checkbox"/> Lease indicates applicant is responsible for utilities and utility shut-off will cause eviction – <i>OR</i> – <input type="checkbox"/> Other evidence of housing being unfit for habitation due to utility shut-off (e.g., other third party provider assessment or ESG staff assessment) <u>POTENTIAL HOUSING LOSS DUE TO FORECLOSURE ON RENTAL PROPERTY</u> <input type="checkbox"/> Written Third Party: Copy of foreclosure notice from landlord/owner or other public record/publication <u>POTENTIAL HOUSING LOSS DUE TO UNINHABITABLE CONDITIONS</u> <input type="checkbox"/> Written Third Party: Copy of notice from landlord/property manager, public health, code enforcement, fire marshal, child welfare or other government entity that housing is condemned RECERTIFICATION ONLY (if other situations do not apply at recertification) <u>POTENTIAL HOUSING LOSS DUE TO PRESENCE OF HOUSING RETENTION BARRIERS (e.g. insufficient income to pay housing costs, behavior that will potentially cause lease non-compliance, etc.).</u> <input type="checkbox"/> Self-Declaration: Brief, written description by ESG staff indicating current housing retention barriers and

Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSING STATUS - Documentation of the current living situation of the household.
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	justification for continued ESG assistance, as recorded on assessment form OTHER HOUSING OCCUPIED BY APPLICANT WITHOUT PAYING RENT (INCLUDING HOUSING SHARED WITH FRIENDS OR FAMILY) (select applicable situation) <u>POTENTIAL HOUSING LOSS DUE TO EVICTION (REQUEST TO LEAVE) BY HOST FRIEND OR FAMILY</u> <input type="checkbox"/> Written Third Party: Copy of eviction notice or letter indicating request to leave (typed or handwritten) from host friend or family – OR – <input type="checkbox"/> Self-Declaration: Applicant self-declaration of housing status form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration <u>POTENTIAL HOUSING LOSS DUE TO FORECLOSURE ON RENTAL PROPERTY</u> <input type="checkbox"/> Written Third Party: Copy of foreclosure notice from landlord/owner or other public record/publication <u>POTENTIAL HOUSING LOSS DUE TO UNINHABITABLE CONDITIONS</u> <input type="checkbox"/> Written Third Party: Copy of notice from landlord/property manager, public health, code enforcement, fire marshal, child welfare or other government entity that housing is condemned
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	OWNED BY APPLICANT <u>POTENTIAL HOUSING LOSS DUE TO FORECLOSURE ON OWNER-OCCUPIED PROPERTY</u> <input type="checkbox"/> Written Third Party: Copy of foreclosure notice from lending institution
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	HOSPITAL OR OTHER INSTITUTION (if stay greater than 180 days and/or not previously in emergency shelter or place not meant for human habitation prior to admission) <u>POTENTIAL HOUSING LOSS DUE TO INSTITUTIONAL DISCHARGE</u> <input type="checkbox"/> Written Third Party: Statement from hospital or other institution
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	HOTEL/MOTEL (NOT PAID FOR BY FEDERAL, STATE OR LOCAL GOVERNMENT OR CHARITABLE PROGRAMS) <u>POTENTIAL HOUSING LOSS DUE TO NON-PAYMENT OF HOTEL/MOTEL COSTS</u> <input type="checkbox"/> Self-Declaration: Applicant self-declaration of housing status form <input type="checkbox"/> Brief, written explanation by ESG staff for using self-declaration

In File (Always Applicable) <input checked="" type="checkbox"/>	OTHER HOUSING OPTIONS, FINANCIAL RESOURCES AND SUPPORT NETWORKS - Documentation of whether household will become or remain homeless “but for” ESG assistance.
<input type="checkbox"/>	OTHER SUBSEQUENT HOUSING OPTIONS <input type="checkbox"/> Self-Declaration: Description of lack of other housing options as recorded on assessment form or other case file documentation (e.g., case notes) <input type="checkbox"/> Brief, written description by ESG staff indicating absence of appropriate and/or reasonable housing options sufficient to prevent or end homelessness


Applicable <input checked="" type="checkbox"/>	In File <input checked="" type="checkbox"/>	HOUSING STATUS - Documentation of the current living situation of the household.
<input type="checkbox"/>	<p>FINANCIAL RESOURCES AND SUPPORT NETWORKS</p> <p><input type="checkbox"/> Self-Declaration: Description of lack of other financial resources and support networks as recorded on assessment form or other case file documentation (e.g., case notes)</p> <p style="padding-left: 20px;"><input type="checkbox"/> Self-declaration includes current bank account balance(s)</p> <p style="padding-left: 20px;"><input type="checkbox"/> Assessment and documentation (if applicable) of other assets, per ESG grantee asset policy, indicating allowable amount</p> <p style="padding-left: 20px;"><input type="checkbox"/> Brief, written description by ESG staff indicating absence of financial resources and support networks sufficient to prevent or end homelessness</p>	
Notes:	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px;"></div>	



STAFF SIGNATURE: _____

DATE: _____

ESG Financial Assistance & Housing Unit Documentation Checklist

ESG Participant(s) Name _____

In File (Always Applicable) 	<i>Documentation</i>
<input type="checkbox"/>	HOUSEHOLD MEMBER IDENTIFICATION – Verification of each household member’s identity, per requirement/standard set by ESG grantee.
<input type="checkbox"/>	ESG FINANCIAL ASSISTANCE NOT USED FOR SAME COST TYPE AND SAME PERIOD AS OTHER FEDERAL, STATE, LOCAL PROGRAM ASSISTANCE – ESG staff assessment with participant to identify if other federal, state, local program is assisting with same cost type for same period.

Applicable 	In File 	ESG FINANCIAL ASSISTANCE – Documentation showing eligible use of ESG Financial Assistance. NOTE: indicate where documentation is kept if not in participant case file (e.g., “supporting documentation for expenses kept in accounts payable file”).
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	RENTAL ASSISTANCE <input type="checkbox"/> Supporting documentation for expense (e.g., eviction letter, court documents, bill/invoice, etc.) <ul style="list-style-type: none"> <input type="checkbox"/> Rental arrears – supporting documentation <input type="checkbox"/> Current/ongoing rental assistance – supporting documentation <input type="checkbox"/> Rental application fees – supporting documentation <input type="checkbox"/> Other ESG eligible fees/penalties (see ESG guidance/FAQs) – supporting documentation -- AND -- <input type="checkbox"/> Copy of rental lease or occupancy agreement for unit assisted with ESG <ul style="list-style-type: none"> <input type="checkbox"/> Rental arrears – copy of lease or occupancy agreement <input type="checkbox"/> Current/ongoing rental assistance – copy of lease or occupancy agreement -- AND -- <input type="checkbox"/> Documentation indicating arrears assistance not greater than 6 months total -- AND -- <input type="checkbox"/> Documentation indicating total assistance (including arrears) not greater than 18 months total
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	UTILITY PAYMENT <input type="checkbox"/> Supporting documentation for expense (e.g., shut-off notice, print-out from utility company, bill/invoice, etc.) <ul style="list-style-type: none"> <input type="checkbox"/> Utility arrears – supporting documentation <input type="checkbox"/> Current/ongoing utility assistance – supporting documentation <input type="checkbox"/> Other ESG eligible fees/penalties (see ESG guidance/FAQs) – supporting documentation -- AND -- <input type="checkbox"/> If utility not in ESG participant name, other documentation indicating ESG participant responsibility for utility -- AND -- <input type="checkbox"/> Documentation indicating arrears assistance not greater than 6 months total -- AND --

<input checked="" type="checkbox"/> Applicable	<input checked="" type="checkbox"/> In File	ESG FINANCIAL ASSISTANCE – Documentation showing eligible use of ESG Financial Assistance. NOTE: indicate where documentation is kept if not in participant case file (e.g., “supporting documentation for expenses kept in accounts payable file”).
		<input type="checkbox"/> Documentation indicating total assistance (including arrears) not greater than 18 months total
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	SECURITY DEPOSIT <input type="checkbox"/> Supporting documentation for expense (e.g., current lease, letter from landlord, bill/invoice, etc.)
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	MOVING COSTS <input type="checkbox"/> Supporting documentation for expense (e.g., bill/invoice, etc.) -- AND -- <input type="checkbox"/> Supporting documentation that vendor had best/most reasonable cost (e.g., newspaper ads, quotes, etc.) -- AND (for storage costs) -- <input type="checkbox"/> Documentation indicating assistance not greater than three months or until participant is in housing, which ever occurs sooner
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	HOUSING VOUCHER <input type="checkbox"/> Supporting documentation for expense (e.g., bill/invoice, etc.) -- AND -- <input type="checkbox"/> Supporting documentation that vendor had best/most reasonable cost (e.g., newspaper ads, quotes, etc.) -- AND -- <input type="checkbox"/> Documentation indicating no appropriate shelter bed(s) available (e.g., ESG staff description of attempt to secure placement in emergency shelter and lack of available, appropriate bed(s))
Notes:		

<input checked="" type="checkbox"/> Applicable	<input checked="" type="checkbox"/> In File	HOUSING UNIT - Documentation showing ESG assistance used for eligible housing unit.
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	RENT REASONABLENESS – If receiving ESG Financial Assistance (current/ongoing rent or security deposit) AND staying in current unit or moving to new housing unit. <input type="checkbox"/> Documentation indicating rent charged for unit is comparable with unassisted units with similar amenities.
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	HABITABILITY STANDARDS INSPECTION – If receiving ESG Financial Assistance (any type) AND moving to new housing unit. <input type="checkbox"/> Documentation indicating unit meets HUD Habitability Standards for ESG (or higher standard if set by grantee, e.g. Housing Quality Standards (HQS)).
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/>	LEAD-BASED PAINT INSPECTION – If receiving ESG Financial Assistance (any type) AND staying in current housing unit or moving to new housing unit AND unit built before 1978 AND child under 6 years old or pregnant woman in household. <input type="checkbox"/> Documentation indicating unit passed lead-based paint inspection.
Notes:		

Applicable ✓	In File ✓	HOUSING UNIT - Documentation showing ESG assistance used for eligible housing unit.

ESG Housing Options and Resources Eligibility

“But For” Certification

Applicant Name: _____

This document is to certify that the above named applicant or household has explored all re-housing options and all available resources. The case manager also certifies that a comprehensive assessment was completed and that the findings are such that the above named applicant or household would remain homeless but for ESG RRH assistance. (see attached assessment)

Client Certification

Under penalty of perjury I, _____ affirm the following statements to be true.

- a. I affirm that I have explored all housing options, (family, friends, public housing, and private housing), and that I have not been able to secure housing.
- b. I affirm that I have accurately reported my family composition and total family income.
- c. I affirm that my household lacks the financial resources and support networks needed to obtain immediate housing (i.e. start up costs, etc.) .
- d. I affirm that I am not receiving financial assistance for the same reason that I am applying for ESG funds.
- e. I affirm that I would re-main homeless but for ESG assistance.

Applicant's Signature

Date:

Case Manager Certification

Under penalty of perjury I, _____ affirm the following statements to be true.

- a. Upon completion of assessment, I affirm that the above named applicant has proven that they have explored all housing options and have not been successful with securing housing .
- b. Upon completion of assessment, I affirm that the above named applicant/household lacks the financial resources and support networks needed to obtain immediate housing.
- c. I certify that I have completed a thorough assessment, including alternative housing options, income and asset verifications and homeless verifications, and believe that the above named applicant or household would re-main homeless but the ESG assistance.

Case Manager's Signature

Date:

ESG Income Eligibility Calculation Worksheet

To be eligible for ESG Homelessness Prevention, households must be at or below 30% of the Area Median Income (and meet other ESG eligibility requirements, as outlined in the Notice). Households receiving Rapid Re-housing services must be at or below 30% of the Area Median Income(AMI) at recertification. A copy of this worksheet must be kept in the client's file.

Household Member Number	Household Member Name	Age of Household Member			
1	Jane Smith	50			
2	Bob Smith	16			
3	Joe Smith	19			
4					
5					
6					
7					
8					
9					
10					
11					
Total Household Members (Household size)		3			
30% of Area Median Income (AMI) for Household Size		\$ 26,450			
Household Member Number/Name	Sources of Household Income	Gross Documented Current Income Amount	Frequency of Income	Number of Payments per Year	Annual Gross Income (gross income amount X # of payments per year)
1/Jane Smith	Earned Income (for ADULT household members only)	\$ 120	Weekly	52	\$ 6,240
3/Joe Smith	Earned Income (for ADULT household members only)	\$ 400	Bi-Weekly	26	\$ 10,400
	Earned Income (for ADULT household members only)	\$ -			\$ -
	Self-employment/business income	\$ -			\$ -
	Self-employment/business income	\$ -			\$ -
	Interest & Dividend Income	\$ -			\$ -
	Interest & Dividend Income	\$ -			\$ -
	Pension/Retirement Income	\$ -			\$ -
	Pension/Retirement Income	\$ -			\$ -
	Unemployment & Disability Income	\$ -			\$ -
	Unemployment & Disability Income	\$ -			\$ -
	TANF/Public Assistance	\$ -			\$ -
	TANF/Public Assistance	\$ -			\$ -
1/Jane Smith	Alimony, Child Support and Foster Care Income	\$ 250	Monthly	12	\$ 3,000
	Alimony, Child Support and Foster Care Income	\$ -			\$ -
	Armed Forces Income	\$ -			\$ -
	Armed Forces Income	\$ -			\$ -
	Other (specify):	\$ -			\$ -
	Other (specify):	\$ -			\$ -
Total Annual Gross Income from all Sources					\$ 19,640
30% of Area Median Income for Household Size:					\$ 26,450
Variance (If Income less than AMI, then household is income eligible)					\$ (6,810)
Is the household at or below 30% Area Median Income?					YES-Income Eligible

Emergency Solutions Grants Program (ESG)

VERIFICATION OF INCOME

ESG Applicant(s) Name: _____

Instructions for Employer/Payment Source Representative: This is to certify the income received by the above named individual for purposes of participating in the ESG program. This information will be used only to determine the eligibility status and level of benefit of the household. **Complete only the selected section below that includes an authorization to release information.**

Please return this form to:

Name & Title: _____ Phone: _____
Address: _____ Fax: _____
Email: _____

Employment Income

ESG Applicant Release: I hereby authorize the release of the following employment information.

ESG Applicant Signature: _____ Date: _____

Employer representative to complete this section:

The person named above is employed by _____ since _____. He/she is paid \$ _____ on a _____ basis and is currently working an average of _____ hours per _____.

Additional compensation please specify (if any): _____
Probability of continued employment: _____

Authorized Employer Representative Signature: _____ Date: _____
Name, Title: _____
Address and Phone: _____

Payments and/or Benefit Income (complete one form for each distinct source of income for person named above)

CIRCLE ONE: Social Security/SSI Pension/Retirement TANF
Public Assistance Unemployment Compensation Workers Compensation
Alimony Payments Foster Care Payments Child Support Payments
Armed Forces Income
Other (pls. specify): _____

ESG Applicant Release: I hereby authorize the release of the following payment and/or benefit information.

ESG Applicant Signature: _____ Date: _____

Payment source representative to complete this section:

Payments or benefits in the amount of \$ _____ are paid on a _____ basis. The expected duration of the payments or benefits is _____.

Authorized Payment Source Representative Signature: _____ Date: _____
Name, Title: _____
Address and Phone: _____

SELF-DECLARATION OF INCOME

Applicant Name: _____

***This form should only be used if third party verification of income is unavailable. ESG providers are expected to have exhausted all alternative options for verifying income prior to use of a self-declaration of income.**

This is to certify the income status for the above named individual. Income includes but is not limited to:

- The full amount of gross income earned before taxes and deductions.
- The net income earned from the operation of a business, i.e., total revenue minus business operating expenses. This also includes any withdrawals of cash from the business or profession for your personal use.
- Monthly interest and dividend income credited to an applicant's bank account and available for use.
- The monthly payment amount received from Social Security, annuities, retirement funds, pensions, disability and other similar types of periodic payments.
- Any monthly payments in lieu of earnings, such as unemployment, disability compensation, SSI, SSDI, and worker's compensation.
- Monthly income from government agencies excluding amounts designated for shelter, and utilities, WIC, food stamps, and childcare.
- Alimony, child support and foster care payments received from organizations or from persons not residing in the dwelling.
- All basic pay, special day and allowances of a member of the Armed Forces excluding special pay for exposure to hostile fire.

Check only one box and complete only that section

I certify, under penalty of perjury, that I currently receive the following income:

Source: _____ Amount: _____ Frequency: _____
Source: _____ Amount: _____ Frequency: _____
Source: _____ Amount: _____ Frequency: _____

Applicant Signature: _____ Date: _____

I certify, under penalty of perjury, that I do not have any income from any source at this time.

Applicant Signature: _____ Date: _____

Staff Verification

I understand that third-party verification is the preferred method of certifying income for HPRP assistance. I understand self declaration is only permitted when I have attempted to but cannot obtain third party verification.

Documentation of attempt made for third-party verification:

Staff Signature: _____ Date: _____

EMERGENCY SOLUTIONS GRANTS (ESG) PROGRAM SELF-DECLARATION OF HOUSING STATUS

ESG Applicant Name: _____

- Household without dependent children (complete one form for each adult in the household)
 - Household with dependent children (complete one form for household)
- Number of persons in the household: _____

This is to certify that the above named individual or head of household is currently homeless or at-risk of homelessness, based on the following and other indicated information and the signed declaration by the applicant.

Check only one:

- I [and my children] am/are currently homeless and living on the street (i.e. a car, park, abandoned building, bus station, airport, or camp ground).
- I [and my children] am/are the victim(s) of domestic violence and am/are fleeing from abuse.
- I [and my children] am/are being evicted from the housing we are presently staying in and must leave this housing within the next ____ days.
- I [and my children] am/are at risk of being evicted from the housing we are presently staying in.

I certify that the information above and any other information I have provided in applying for ESG assistance is true, accurate and complete.

ESG Applicant Signature: _____ Date: _____

ESG Staff Certification

I understand that third-party verification is the preferred method of certifying homelessness or risk for homelessness for an individual who is applying for ESG assistance. I understand self declaration is only permitted when I have attempted to but cannot obtain third party verification.

Documentation of attempt made for third-party verification:

ESG Staff Signature: _____ Date: _____

Notice of Ineligibility for ESG Homelessness Prevention Assistance

Date: _____ Name: _____

Address, City and Zip: _____

Your household does not meet the minimum eligibility or qualification standards for ESG assistance for the reason(s) stated below. If you disagree with this decision, you have the right to an informal review (See below).

- Incomplete Documentation;** household failed to provide all required supporting documentation. Missing documentation was _____
- Over Income;** total household income exceeds program eligibility income limits. Maximum household income for your household is \$ _____ and your income is \$ _____
- Does not meet ESG guidelines for at risk of homelessness;** household does not have a writ of summary process and complaint
- No members of the household meet the additional criteria for ESG services;** history of homelessness, history of domestic violence, household member with disability
- Property Owner not willing to Participate;** household's landlord refused to accept RAFT payments offered by Agency on behalf of the household.
- Receiving other benefits;** household is receiving other benefits of the same type at the same time
- Does not have sufficient financial resources to maintain the housing based on current income.**
- Other;** _____

Administrative Review: If you disagree with this decision, you have the right to request a review.

To request a review, you must send a written request **specifically** stating why you believe our determination is incorrect. This **written request** must be **mailed** or **hand delivered within 10 calendar days** of the notice of ineligibility and addressed to: *ESG Agency address*.

You may submit additional documentation or written arguments with your request for review. Reviews will be performed by a supervisor who is familiar with the program but unfamiliar with your particular case. Administrative Review is different from a hearing, no testimony will be taken so you **must submit** any additional documentation (i.e. increased income, etc.), and the explanation of your circumstance or legal argument **with your request** to have this information included in this review.

A written ESG review will be conducted within 15 calendar days of your request for a review. You will be notified at the address you provided and a written finding will be placed in your file. There is no appeal to the City of Worcester pending this finding.

RENT REASONABLENESS CHECKLIST AND CERTIFICATION

	Proposed Unit	Unit #1	Unit #2	Unit #3
Address				
Number of Bedrooms				
Square Feet				
Type of Unit/Construction				
Housing Condition				
Location/Accessibility				
Amenities Unit: Site: Neighborhood:				
Age in Years				
Utilities (type)				
Unit Rent Utility Allowance Gross Rent				
Handicap Accessible?				

CERTIFICATION:

A. Compliance with Payment Standard

_____ + _____ = _____
Proposed Contract Rent + Utility Allowance = Proposed Gross Rent

Approved rent does not exceed applicable Payment Standard of

\$_____.

B. Rent Reasonableness

Based upon a comparison with rents for comparable units, I have determined that the proposed rent for the unit [] is [] is not reasonable.

Name:	Signature:	Date:
-------	------------	-------

ESG-RRH LANDLORD ACKNOWLEDGEMENT FORM

Date: _____

This is to confirm that _____ will rent an

 (Tenant's Name)
 apartment from me at _____

_____ for a monthly rent amount of:
 \$ _____. The start date for this tenancy will be: _____.

Number of Bedrooms _____ Year Constructed _____, (Prior to 1978) Attached De-Lead Certification
 Square Feet _____ Handicap Accessible Yes No
 Type of House/Apartment: Elevator/High-Rise
 Single Family Detached Semi Detached/Row House Manufactured Home Garden Walkup

Who is responsible for Utilities and Appliances? (Please Check One).

Utility	Landlord will pay	Tenant will pay
Heating		
Hot Water		
Gas		
Trash		
Electric		
Stove		
Refrigerator		

Rent Reasonable: Under Funding regulations, the program required that the landlord certify that the rent charged to the above named tenant is not more than the rent charged for other unassisted comparable units.

Address and Unit Number	Square Feet	# of Bedrooms	Handicap Accessible	Year Constructed	Date Rented	Rental Amount
			Y N			\$
			Y N			\$
			Y N			\$

Shallow Subsidy: If the tenant will be receiving short-term help towards his or her rent, I acknowledge receipt of the attached Shallow Subsidy Agreement. I understand a copy of this agreement is being provided to me for informational purposes only. It is not a guarantee of a subsidy. If a subsidy is put into place, it will be effective for up to 12 months. I understand that if the tenancy should end before the 12 months is up, the subsidy will also end at that time. I also understand that the subsidy is contingent upon the tenants compliance with the program. I understand that this agreement is also contingent upon the unit's compliance with HUD habitability standards. I do agree to notify the case manager/contact identified below if tenant fails to remit rental payment within five (5) days of due date.

Landlord Contact Information: Address _____
 Phone: _____ Fax: _____

Check Payable To: _____
 Sincerely,

Signature _____ Date _____
 (Landlord Signature)

ESG Housing Habitability Standards and Lead-Based Paint Inspection Checklist

The new ESG Shelter and Housing Standards are described in Section 576.403 of the ESG Interim Rule. These habitability standards **apply any time ESG funds are used to assist an ESG participant retain or move into a housing unit**. Inspections must be conducted upon initial assistance and then on an annual basis for the term of ESG assistance. In contrast to the Housing Quality Standards (HQS), the habitability standards **do not require a certified inspector**. This checklist also addresses the ESG requirement on determining that a unit is in compliance with federal laws regarding lead based paint if the unit where an ESG participant household is residing/intends to reside was constructed prior to 1978 and the household includes a pregnant woman or a child under the age of 6. The ESG grantee must conduct the inspections using this form to document compliance.

Instructions: Mark each statement as 'A' for approved or 'D' for deficient. The property must meet all standards before ESG funds are authorized. The checklist must be kept in the ESG Participant's record.

Approved or Deficient	Element
	1. <i>Structure and materials</i> : The structures must be structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the residents from hazards.
	2. <i>Access</i> : Structures must provide alternate means of egress in case of fire.
	3. <i>Space and security</i> : Each resident must be afforded adequate space and security for themselves and their belongings. Each resident must be provided with an acceptable place to sleep.
	4. <i>Interior air quality</i> : Every room or space must be provided with natural or mechanical ventilation. Structures must be free of pollutants in the air at levels that threaten the health of residents.
	5. <i>Water Supply</i> : The water supply must be free from contamination.
	6. <i>Sanitary Facilities</i> : Residents must have access to sufficient sanitary facilities that are in proper operating condition, may be used in privacy, and are adequate for personal cleanliness and the disposal of human waste.
	7. <i>Thermal environment</i> : The housing must have adequate heating and/or cooling facilities in proper operating condition.
	8. <i>Illumination and electricity</i> : The housing must have adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of residents. Sufficient electrical sources must be provided to permit use of essential electrical appliances while assuring safety from fire.

	<p>9. <i>Food preparation and refuse disposal:</i> All food preparation areas must contain suitable space and equipment to store, prepare, and serve food in a sanitary manner.</p>
	<p>10. <i>Sanitary condition:</i> The housing and any equipment must be maintained in sanitary condition.</p>
	<p>11. <i>Fire safety:</i> Both conditions below must be met to meet this standard.</p> <p>b. Each unit must include at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors must be located, to the extent practicable, in a hallway adjacent to a bedroom. If the unit is occupied by hearing-impaired persons, smoke detectors must have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person.</p> <p>a. The public areas of all housing must be equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, day care centers, hallways, stairwells, and other common areas.</p>
	<p>12. Required in buildings constructed prior to 1978 and where an ESG participant household intends to reside and the household includes a child under the age of 6.</p> <p>Visual assessment means looking for, as applicable: (1) Deteriorated paint (chipping, loose, crumbling); (2) Visible surface paint dust, debris and residue as part of a risk assessment or clearance examination; and (3) The completion or failure of a hazard reduction measure.</p> <p><input type="checkbox"/> The unit or non DHCD funded shelter has no observable loose, chipping, or deteriorated paint; <u>or</u></p> <p><input type="checkbox"/> The landlord presented a report from a licensed inspector showing the site is lead free, or the lead has been removed or encapsulated as required under MA state law. (If so, check this box)</p>

CERTIFICATION STATEMENT

I certify that I am not a HUD certified inspector and I have evaluated the property located at the address below to the best of my ability and find the following:

- Property meets all of the above standards.
- Property does not meet all of the above standards.

Therefore, I make the following determination:

- Property is approved.

Property is not approved.

ESG Participant Head of Household Name:

Street Address:

Apartment: City: State: Zip:

Evaluator's Signature: _____ Date: _____

Please Print Evaluator Name: _____

Exec. Dir. Initials:

Emergency Solutions Grants (ESG) Performance Report

Project Sponsor:	Project Name:
Sponsor Address: City: State: Zip Code	
Contact Person: Email	Telephone #
Report for Period Ending: <input type="checkbox"/> June 30 th due July 15 th <input type="checkbox"/> September 30 th due October 15 th	
<input type="checkbox"/> December 30 th due January 15 th <input type="checkbox"/> March 31 st due April 15 th	

- ESG Activity:**
- Emergency Shelter Homeless Prevention HMIS
 Street Outreach Rapid Re-Housing

- ESG Program Type:**
- | | | |
|--|--|---|
| <input type="checkbox"/> Emergency Shelter | <input type="checkbox"/> Scattered Site | <input type="checkbox"/> Child Care Services |
| <input type="checkbox"/> Day Shelter | <input type="checkbox"/> Legal Services | <input type="checkbox"/> Hotel/Motel/SRO/Group Home |
| <input type="checkbox"/> Health Care Provider | <input type="checkbox"/> Mediation Services | <input type="checkbox"/> Domestic Violence Services |
| <input type="checkbox"/> Substance Abuse Program | <input type="checkbox"/> Employment Services | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Housing Search Program | <input type="checkbox"/> HIV/AIDS Services | |

Accomplishment Narrative: Describe your ESG funded program’s accomplishment for the year. (No more than 250 words)

Number Served:

A. Number Proposed to be Served on Scope of Work.	Number of singles not in families	Number of adults in families	Number of children in families	Number of families
Annually				
B. Number Served for the Program Year.	Number of singles not in families	Number of adults in families	Number of children in families	Number of families
Annually				

	Number of individuals	Number of families
C. Number on the first day of the program year.		

D. Number entering program during the program year.		
E. Number who exited the program during the program year.		

F. Number of Single Individuals Served	Male	Female	Total
Unaccompanied under 18			
Adults 18 to 25			
Adults over 25			
Total			

G. Families Served	Total
Two parent households with children	
Family households with no children	
Single parent household with children	
Households with all children	
Total	

Population Served: (total persons served)

A. Race:

Hispanic
(Please indicate if this person is of
Hispanic/Latino origin)

American Indian/Alaskan Native		
Asian		
Black/African American		
Native Hawaiian/Other Pacific Islander		
White		
American Indian/Alaskan Native & White		
Asian & White		
Black/African American & White		
American Indian/Alaskan Native & Black/African American		
Other Multi-Racial		

B. Subpopulations Served: (only one category per persons served)

Chronically Homeless (emergency shelter only)	
Severely Mentally ill	
Chronic Substance Abuse	
Other Disability	
Persons with HIV/AIDS and related diseases	
Veterans	
Elderly	
Domestic violence	
Other (please specify)	

Reasons for service request (households served –includes individuals not in families and families served)

Eviction proceedings	
Loss of or sudden reduction in family income	

Divorce	
Change in Family Composition	
Unable to pay/rent/mortgage/utilities	
Argument with family /friends	
Family Violence	
Prison/Jail	
Welfare time Limits	
Physical/Mental Disability	
Alcohol/Drug Abuse	
Other :	

v. Destination at Exit: (households served –includes individuals not in families and families served)

Transitional housing	
Permanent housing	
Emergency shelter	
Institution (hospital, inpatient substance abuse treatment facility, jail/prison)	
Retained Tenancy/Housing	
Other (please specify)	
Unknown/disappeared	

vi. Services Provided (total served):

A. Homeless Assistance: (Please indicate total number served for the program year)

	Adults	Children
Outreach		
Life Skills		
Needs Assessments		
Child Care		
Transportation		
Job Training		
Assistance in obtaining income support		
Legal Services		
Food Pantry		
Case Management		
Client Advocacy		
Nutritional Services		
Alcohol/Drug Abuse Treatment		
Job Placement		
Housing Search		
Rapid Re-Housing		
Day Services		
Medical/Mental Health Services		
Other (please indicate)		

B. Homeless Prevention: (Please indicate total number served for the program year)

	Adults	Children
Rental Assistance		
Short Term Subsidies to defray rent and utility arrearages		
Security deposits or first month rent to enable them to move into permanent housing		
Utility Assistance		
Mediation Services for landlord/tenant disputes		
Legal services in eviction proceedings		
Diversion from Shelter		
Stabilization Services		
Tenancy Preservation		
Other (please indicate)		

Outcomes: (Using the projected numbers on the Scope of Work document, please indicate the progress for each goal achieved during the program year)

Outcomes:

A. Rapid-Re-Housing/Emergency Shelter: (households served –includes individuals not in families and families served during the contract period)

	%	#
Reduction of the number of households in shelter		
Reduction in average length of shelter stay		
Rapidly Re-Housed those entering the shelter system		
Placed into permanent affordable housing		
Provided stabilization services for those exiting shelter to permanent Housing		
Linked program participants to asset development resources that resulted in an increase in income (education, job training, employment, mainstream resources)		

B. Street Outreach (households served –includes individuals not in families and families served during the contract period)

	%	#
Reduced the Number of Unsheltered single adults in the Boston CoC		
Placed Unsheltered single adults into any type of housing		
Unsheltered Adults received a service for an identified physical or mental health condition for which they were not receiving services at program entry		

C. Homeless Prevention: (households served –includes individuals not in families and families served during the contract period)

	%	#
Diverted from Shelter		
Tenancies preserved		
Evictions prevented		
Provided stabilization Services for households at imminent risk of becoming homeless		
Linked program participants to asset development resources that resulted in an increase in income (education, job training, employment, mainstream resources)		
Provided Landlord-Tenant mediation		
Provided Financial Assistance		

VIII. Financial:
ESG Expenditures – By Component Type

Component Type	ESG Funds	Match	Match Source	Total Expenditures
Street Outreach				
Emergency Shelter				
Rapid Re-Housing				
Homelessness Prevention				
Total				

ESG Expenditures – By Service Type

Expenditure Type	ESG Funds	Match	Match Source	Total Expenditures
Emergency Shelter				
Day Shelter				
Health Care				
Substance Abuse Program				
Housing Search				
Street Outreach				
Meal Services				
Mental Health Services				
Employment Search				
Homeless Prevention				
Rapid Re-Housing				
Vouchers for Shelter				
Rental Assistance				
HIV/AIDS Services				
Child Care				
Financial Assistance				
Stabilization Services				
Moving Costs				
Total				

SUBRECIPIENT MONTHLY/ QUARTERLY TIMESHEET

Please Select: **FISCAL YEAR 2012** **FISCAL YEAR 2013** **FISCAL YEAR 2014**

Please Select: **CDBG Program** **HOME Program** **ESG Program**

ORGANIZATION NAME: _____ **HOPWA**

PROGRAM NAME: _____ **CoC Program**

REQUEST PERIOD: _____ TO: _____ PERCENTAGE RATE: (According to Application) **0.00%**

Sub-Recipient / Employee Time Sheet for Program Personnel

EMPLOYEE NAME	ACTIVITY	DATE	PAY RATE	Day of Week (Week 1)							Total Number of Hours	Total Program Hours Worked	PROGRAM REIMBURSEABLE PAY
				M	T	Wed.	Th.	Fri.	Sa.	Su.			
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
Total Number of Hours Worked -											0.0	0.0	\$0.00

Total Number of Hours 0.0

Total Number of Program Hours 0.0

Rate of Pay Per Hour \$0.00

Percentage Rate - According to Application 0.0%

Total Pay Period 1 Amount \$0.00

Sub-Recipient / Employee Time Sheet for Program Personnel

EMPLOYEE NAME	ACTIVITY	DATE	PAY RATE	Day of Week (Week 2)							Total Number of Hours	Total Program Hours Worked	PROGRAM REIMBURSEABLE PAY
				M	T	Wed.	Th.	Fri.	Sa.	Su.			
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
			\$0.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	0	\$0.00
Total Number of Hours Worked -											0.0	0.0	\$0.00

Total Number of Hours 0.0

Total Number of Program Hours 0.0

Rate of Pay Per Hour \$0.00

Percentage Rate - According to Application 0.0%

Total Pay Period 2 Amount \$0.00

Date & Signature of Staff Personnel Signature: _____ Date: _____

Date & Signature of Staff Supervisor Signature: _____ Date: _____

**Note: Please be sure to attach the approved timesheets and pay stub together when submitting program reimbursements to the Division of Grants Management for either CDBG, HOME, ESG and HOPWA programs.*

TIME AND EFFORT LOG

Employee's Name _____

Social Security # or Employee # _____ Pay Period Dates _____

DAY	Funding Source 1	Funding Source 2	Funding Source 3	Funding Source 4	TOTALS
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
21					
22					
23					
24					
25					
26					
27					
28					
29					
30					
31					
TOTALS					
%					

Employee's Signature/Date: _____

Supervisor's Signature/Date: _____