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# **EMERGENCY SHELTER GRANT (ESG) PROGRAM** STATE PLAN AND OPERATIONS MANUAL CFDA #14.231

## **FFY 2011**

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**Wyoming Department of Health Rural and Frontier Health Department Community Services Programs** 



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### **Overview and Statement of Purpose**

The intent of this 2011 Emergency Shelter Grant (ESG) Program State Plan and Operations Manual is to clarify federal, state, and local requirements and to present other appropriate and pertinent information relative to the purposes of the ESG program.

The purpose of the Wyoming ESG program is to provide housing assistance to the state's homeless population through community-based shelters that provide an array of services designed to meet the needs of homeless persons throughout the state, through the following activities:

- 1. To improve the quality of emergency shelter for the homeless;
- 2. To help meet the cost of operating emergency shelters;
- 3. To provide certain essential services to homeless individuals so that these persons have access to safe and sanitary shelter and support services; and
- 4. To alleviate the problem of homelessness through the funding of preventive services and activities, and the provision of financial assistance to those "at risk" of becoming homeless.

While the program's primary concern is meeting the immediate housing needs of the homeless, there is a secondary need to prevent or alleviate homelessness and to assist in preparing homeless persons for successful transition into permanent housing.

### **Enabling Legislation**

The application and State Plan are consistent with the provisions of:

- 1. The Stewart B. McKinney Assistance Act of 1987 (P.L. 100-77);
- 2. The Stewart B. McKinney Homeless Assistance Amendments Act of 1988 (P.L. 100-628);
- 3. The Cranston-Gonzales National Affordable Housing Act of 1990 (P.L. 101-625);
- 4. The Housing and Community Development Act of 1992 (P.L. 102-550); and
- 5. The ESG final rules as published in the Federal Register of November 7, 1989 (24 CFR Part 576), as amended.

Comments or inquiries related to the ESG program should be directed to either:

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### **Relationship to HUD Consolidated Plan**

The Emergency Shelter Grant Program (ESG) is designed to be the first step in a continuum of assistance to prevent homelessness and to enable homeless individuals and families to move toward independent living as well as to prevent homelessness. The U.S. Housing and Urban Development (HUD) Comprehensive Plan satisfies the minimum statutory requirements for the following four formula programs:

- 1. Community Development Block Grants (CDBG);
- 2. Home Investment Partnerships (HOME);
- 3. Housing Opportunities for Persons With Aids (HOPWA); and
- 4. Emergency Shelter Grants (ESG).

The statues for these four grant programs set forth three basic goals which are closely related to the major commitments and priorities of the Wyoming Department of Health (WDH) and the State of Wyoming:

First, programs shall provide decent housing. Included within this broad goal are assisting homeless persons to obtain affordable housing; retaining the affordable housing stock; increasing the availability of permanent housing that is affordable to low-income Americans without discrimination; and increasing supportive housing that includes structural features and services to enable persons with special needs to live in dignity.

Second, programs shall provide a suitable living environment. This includes improving the safety and livability of neighborhoods; increasing access to quality facilities and services; reducing the isolation of income groups within areas by expanding housing opportunities and revitalizing deteriorating neighborhoods; restoring, enhancing and preserving natural and physical features of special value for historic, architectural, or aesthetic reasons; and conserving energy resources.

Finally, programs shall expand economic opportunities. Within this goal are creating jobs accessible to low-income persons; providing access to credit for community development that promotes long-term economic and social viability; and empowering low-income persons to achieve self-sufficiency in federally-assisted and public housing.

Each of these goals must primarily benefit low-income persons.

#### Homelessness

#### **Definition of Homeless**

The term "homeless" or "homeless individual" refers to:

- 1. An individual who lacks a fixed, regular, and adequate nighttime residence, or
- 2. An individual who has a primary nighttime residence that is:
  - a. A supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);
  - b. An institution that provides a temporary residence for individuals intended to be institutionalized; or
  - c. A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

Exclusion; The term "homeless" or "homeless individual" does not include any individual imprisoned or otherwise detained pursuant to an Act of Congress or a State law.

#### **Eligible Population**

The target population will be homeless persons as defined above.

### **Homelessness in Wyoming**

Wyoming is a rural state with a majority of Wyoming counties fitting the description of "Frontier" (a population density of less than 7 persons per square mile). Wyoming people are noted for their rugged individualism, their western hospitality, and their ability to adapt to rapidly changing and sometimes extreme weather conditions. Small communities in Wyoming are separated by miles of uninhabited land, from ranchland to stretches of desert to federally protected wilderness areas. Wyoming's population centers (recognizing that the largest town in Wyoming has a population of around 55,000 and the entire state population is just over a half million people) are located along the three Interstate highways that cross the state. All these characteristics point to the uniqueness that is Wyoming and to the interrelationships of Wyomingites and the homeless population that resides in or travels through the state.

Wyoming also experiences "boom and bust" cycles as a result of energy development throughout the state. Extraction of the state's natural resources to meet the nation's energy needs contributes to the potential for homelessness as workers bring families as they seek work in mines or oil fields and are then unable to move on when the energy boom ends.

Added to that mix is the Wind River Indian Reservation, home to the Northern Arapaho and Eastern Shoshone tribes. Located in the west-central part of the state, the reservation is surrounded by wilderness areas, deserts, energy-rich lands, and a two-lane highway that is the main travel way to the Tetons and Yellowstone National Park. For a variety of reasons, the reservation and much of the surrounding area forms a poverty pocket that included an unparalleled degree of homelessness.

### **Wyoming Homeless Collaborative**

The Wyoming Homeless Collaborative (Collaborative) was created in the spring of 2007 by members of the Regional Continuum of Care organizations, members of the Wyoming Interagency Council on Homelessness, Homeless Management Information System (HMIS) committee members, and federal agencies dealing in homeless programs such as Veterans Affairs and Housing and Urban Development. The Collaboration was established to raise awareness of the homeless issue in Wyoming.

The vision of the Wyoming Homeless Collaborative is to end chronic homelessness and all homelessness in Wyoming by utilizing housing first and facilitating the provision of housing and support services to prevent homelessness, including support for:

- affordable housing development,
- > job training,
- > vocational rehabilitation,
- increased public awareness and education about homelessness,
- > access to mental health and substance abuse care,
- > disability income,
- workers compensation,
- ➤ housing programs that bridge the gap between the foster care and prison discharge systems and permanent housing

This vision emphasizes the complete cooperation, coordination, and spirit of partnership of all housing organizations, faith-based organizations, service agencies as well as the private and public sector to generate and efficiently utilize limited resources and to implement effective programs.

### **Accomplishments of the Collaborative since March 2007:**

- Successful submission of the 2007 HUD Continuum of Care grant resulting in \$545,000 in grants for homeless providers in Wyoming
- Development of bylaws for the Wyoming Homeless Collaborative
- Development and implementation of a strategic plan and action plan for the Collaborative in October 2007
- Requested and received approval from HUD to change the date of the point in time count from January to March to assure more accurate homeless counts for Wyoming
- Hosting an annual meeting for homeless providers in June 2008
- Hosted 2 HMIS training sessions and increased use of the program from 3 agencies to 7
- Development of a 10 year plan to end homelessness in Wyoming

#### Structure of the Wyoming Homeless Collaborative

Membership of the Collaborative is comprised of 1 representative of each regional continuum of care, of which there are 5; a member of a city housing department; a representative from the Wyoming Department of Health; a representative of Veterans Affairs; an economic development director; a representative of the Wyoming Housing Development Authority; and a former homeless person.

Officers of the Collaborative include a chairman, vice chairman, and secretary. Meetings are held quarterly.

#### **Effectiveness of the Wyoming Homeless Collaborative**

The structure and membership of the Collaborative has made it an effective organization. We have seen better communication amongst providers; all homeless agencies and providers in the State of Wyoming working together toward common goals to end homelessness; and by working together having a stronger voice to educate local and state government on the seriousness of homeless in Wyoming.

The Collaborative was also successful in changing the Point in Time count from January to March. Because of harsh weather conditions in Wyoming in January, it was impossible to get accurate homeless counts. The Collaborative requested the change in date through HUD and was granted an exception to conduct the State-wide count on March 20, 2010. This effort resulted in more accurate counts for the state.

The Collaborative has brought all the agencies and providers together to develop the 10 year plan to end homelessness in Wyoming. Goals established are:

- <u>Goal A</u> To provide access to affordable and adequate healthcare
- Goal B To provide access to mental health and substance abuse treatment
- <u>Goal C</u> To prevent people facing economic loss, disability, and other unexpected events from becoming homeless
- Goal D Implement housing first
- Goal E To improve communication between all agencies that provide services to the homeless

#### **Wyoming Homeless Collaborative Emphasis Areas for 2011**

The Wyoming Homeless Collaborative highest priority is to focus on efforts that will strengthen the state-wide HUD Continuum of Care grant application. The number one priority is to enhance the Homeless Management Information System state-wide. To educate homeless providers on the importance of utilizing this data collection system and provide training and technical assistance to have more users sign on to use the program. The next priority includes a better coordinated effort for the annual Point in Time Count. To improve the collection of data and increase the number of agencies and providers that participates. The Collaborative will also review and finalize the 10 year state-wide plan to end homelessness in Wyoming.

#### **Homeless Facilities**

#### **Emergency Homeless Shelters**

Campbell County: Campbell County Homeless Shelter (The Way Station), Gillette

Fremont County: Fremont County Good Samaritan Center, Riverton COMEA House and Resource Center, Cheyenne Natrona County: Central Wyoming Rescue Mission, Casper Sheridan County: Sheridan Community Shelter, Sheridan

Teton County: Good Samaritan Mission, Jackson

#### **Transitional Housing Shelters**

Natrona County: Seaton House, Casper

Natrona County: Life Steps Transitional Housing, Casper

#### <u>Self-Sufficiency for the Homeless Programs</u>

Laramie County: Community Action Programs of Laramie County, Inc., Cheyenne

Park County: Yellowstone Country Assistance Network, Powell

#### <u>Healthcare for the Homeless Programs</u>

Laramie County: Community Action Programs of Laramie County, Inc., Cheyenne

Natrona County: Healthcare for the Homeless Clinic, Casper

#### Adult Education for the Homeless Programs

Fremont County: Central Wyoming College, Riverton

Laramie County: Laramie County Community College, Cheyenne

Natrona County: Casper College, Casper

#### PATH (Projects to Aid in Transition from Homelessness) Programs

Fremont County: Fremont Counseling Service, Riverton

Laramie County: Laramie County Community College, Cheyenne Central Wyoming Counseling Center, Casper

#### **Salvation Armies**

Campbell County: Gillette
Albany County: Laramie
Laramie County: Cheyenne
Natrona County: Casper
Sheridan County: Sheridan

### **Program Planning and Administration**

CSP, through oversight of the CSBG, have instituted a strategic planning process for state CSBG projects. Since Federal Fiscal Year (FFY) 1999, CSBG service providers utilizing federal CSBG funding have reported accomplishments through WyoROMA, Wyoming's version of the Results Oriented Management and Accountability (ROMA) planning process developed in accordance with the Government Performance and Results Act of 1993 (GRPA). This system allows participants in the Wyoming CSBG and ESG Programs to plan, conduct, evaluate, and report on activities in a fashion that will meet the requirements of both strategic planning and ROMA requirements.

ESG service providers have incorporated strategic planning criteria into their previous applications and are expected to incorporate those elements into Fiscal Year (FY) 2011 applications as well. During the FY 11, CSP will provide additional information as needed to work with applicants on strategic planning.

The goal of CSP is to make a measurable impact on poverty by using all available local, state, private, and federal resources to provide services and activities to remove obstacles and solve problems, thereby enabling low-income families and individuals to become self-sufficient.

The primary objective of CSP is to provide services to low-income people in Wyoming through a combination of local and federal CSBG and ESG funding that will move 20% of eligible clients toward self-sufficiency during 2011.

The strategy by which this goal and objective can be achieved is to provide guidance, funding assistance, and oversight to local communities who have the ability to offer services to the state's low-income population in a cost-beneficial manner.

The anticipated outcome of Wyoming's statewide ESG program effort is that 20% of eligible clients served by local ESG-funded program will be moved toward self-sufficiency.

Output measures for the achievement of Wyoming's statewide ESG Program include the following:

- 7,000 low-income people will be provided emergency shelter,
- 80,000 total nights of shelter will be provided to low-income people,
- 118,000 meals will be provide to low-income people,
- 3,200 low-income people will be provided with 18,500 essential supportive services,
- 35 people will be provided with homeless prevention assistance, and
- 14,000 referrals will be made to other agencies for services.

#### **Continuum of Care**

For many years the WDH, RFHD, CSP has been working to help homeless individuals and families move from poverty and dependence toward jobs and self-sufficiency. The State of Wyoming's primary approach to breaking the cycle of homelessness through the concept of the "Continuum of Care" consists of two key elements:

- 1. A coordinated community-based process of identifying needs and building a system to address those needs, and
- 2. Funding from the state-level through several block grant programs (CSBG and ESG).

Resources of those programs, in addition to other available resources (i.e., the Supportive Housing Program, the Section 8 Single Room Occupancy Program, the Shelter Plus Care Program, the HOME Program, and the Community Development Block Grant Program, etc.), provide the tools and resources needed for communities to continue to develop individual systems connected to a single, locally driven strategy made up of projects that fill gaps in local human services systems.

The State Strategy listed above (to provide guidance, funding assistance, and oversight to local communities who have the ability to offer services to the state's low-income population in a cost-beneficial manner) recognizes that for a homeless assistance strategy to be effective, it must be linked to local plans developed within each community.

WYOMING'S DEFINITION OF "CONTINUUM OF CARE": An approach that helps communities plan for and provide a full range of emergency, transitional, and permanent housing, essential supportive services, and homeless prevention assistance that address the various needs of homeless people.

A detailed explanation of prospective applicants' Continuum of Care systems is a requirement for ESG funding from the CSP.

The fundamental components of Wyoming's Continuum of Care system are:

- Outreach and assessment to identify an individual's or family's needs and make connections to facilities and services;
- Immediate (emergency) shelter and safe, decent alternatives to the streets;
- Transitional housing with appropriate support services to help people reach independent living which include job training and placement, substance abuse treatment, short-term mental health services, and independent living skills assistance;
- Permanent housing or permanent supportive housing assistance;
- Provision of essential supportive services in all of the above listed components to further facilitate the potential for self-sufficiency; and
- Provision of homeless prevention assistance which will prevent more people from becoming homeless.

While not all homeless people will need access to all components, each component must be present to the extent possible and coordinated within a community for a Continuum of Care to be viable. Ideally, the system will serve the specific needs of all homeless subpopulations within communities. It will be coordinated with as inclusive a group of community representatives as possible, including elected officials, public service programs, private foundations, religious organizations, local businesses, local community human services groups, homeless, or former homeless people, and others.

While the Continuum of Care concept or approach can serve as a framework to bring homeless assistance and their respective providers together, local communities, not the federal or state government, can design strategies that work best for local jurisdictions.

As part of the development and ongoing refinement of Continuum of Care strategies, communities will assess the service and housing needs of homeless people in their locality, inventory the existing resources available to serve them, and identify gaps in housing and service delivery. By definition, Continuum of Care gaps equal population needs minus current inventory (or resources). Such assessments will help insure that the needs of all homeless people will be met to the extent practicable.

### **Community Services Block Grant Program (CSBG)**

The CSBG program is also administered by the CSP. Its mission is to make a measurably major impact on poverty by using available local, state, private, and federal resources to provide services and activities to remove obstacles and solve problems, thereby enabling low-income individuals and families to move toward self-sufficiency.

The program operates throughout the state and on the Wind River Reservation with approximately 175 projects. In those areas not having homeless assistance through the ESG program, the CSBG program often provides homeless assistance, such as, shelter, supportive services, and homeless prevention services to those in need.

The CSBG program annually provides emergency services to over 7,000 homeless people and supportive services to over 18,000 low-income people. The service category that has traditionally been utilized the most has been "Emergency Assistance". This service category benefits homeless people significantly.

#### **Activities and Services**

In general, activities and services designed to achieve the State objective of providing meaningful assistance to homeless people will constitute the eligible activities of the ESG program.

The intent of the ESG program funds provided to the State and distributed to its recipients is that they be used to increase the level of services and activities and/or to increase the types of services and activities provided to homeless people, and not be used to replace or supplant previous appropriations of funds for these purposes.

Specifically, ESG program funds will be used for the following purposes:

- 1. Payment for shelter maintenance, operations, rent, repairs, security, fuel, equipment, insurance, utilities, food, and furnishings. Not more than 10 percent of the grant amount may be used for costs of staff.
- 2. Provision of essential supportive services to homeless people. Categorically, these services relate to health, employment, substance abuse, and education, and may include (but are not limited to):
  - a. Assistance in obtaining permanent housing;
  - b. Medical and psychological counseling and supervision;
  - c. Employment counseling;
  - d. Nutritional counseling;
  - e. Substance abuse treatment and counseling;
  - f. Assistance in obtaining other public and private assistance, including mental health benefits, employment counseling, medical assistance, Veterans' benefits, income support assistance such as Supplemental Social Security Income benefits, Temporary Assistance to Needy Families, General Assistance, and food stamps;
  - g. Other services such as child care, transportation, job placement and job training; and
  - h. Staff salaries to provide the above services

Not more than 30% of each State's recipient's funds will be used for essential supportive services category.

- 3. Homeless prevention activities. While the attention has been geared toward the short-term emergency shelter and food needs of the homeless during the early years of "categorical homeless" program, Wyoming has chosen, over the past several years, to strive for self-sufficiency and comprehensive homeless assistance, as well as to emphasize homeless prevention activities. These activities are designed to prevent the incidence of homelessness, and include (but are not limited to):
  - a. Short-term subsidies to defray rent and utility arrangements for families that have received eviction or utility termination notices;
  - b. Security deposits or first month's rent to permit a homeless family to move into its own apartment or house;
  - c. Mediation programs for landlord-tenant disputes;
  - d. Legal services programs for the representation of indigent tenants in eviction proceedings;
  - e. Payments to prevent foreclosure on a home; and
  - f. Other innovative programs and activities designed to prevent the incidence of homelessness.

Funds used under this category to assist families that have received eviction notices or notices of termination of utility services will be subject to the following conditions:

- i. The inability of the family to make the required payments must be the results of a sudden reduction in income:
- ii. The assistance must be necessary to avoid eviction of the family or termination of services to the family;
- iii. There must be a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and
- iv. The assistance must not supplant funding for pre-existing homeless prevention activities form any other sources.
- v. No more than 30% of each State recipient's funds will be used for this category.

Limited homeless prevention funds will not be spent to assist persons who are able to house themselves, even if their living situation involves overcrowding or substandard conditions. Likewise, assistance such as first month's rent or security deposits will be provided to individuals or families only if their income or assets are such that they are unable to make these payments themselves. In all cases, local programs will first explore the use of other federal, state or local resources before committing their limited ESG homeless prevention funds.

To ensure that the homeless prevention funds have the maximum impact, it will be important that local programs expend these funds wisely by targeting their homeless prevention activities to those individuals and families who are at imminent risk of becoming homeless because they do not have adequate resources or the support network needed to avoid emergency shelters. It must be recognized that not all people facing eviction or who are behind in paying utility bills are in danger of becoming homeless. Consequently, thorough research of each situation and common sense will prevail.

4. Although the category of "Renovation, major rehabilitation, or conversion of buildings for use as emergency shelters for the homeless" is an eligible activity under the ESG regulations, the State of Wyoming has chosen not to use ESG program funds for these activities. Activities such as these are normally high cost and using the State ESG program funds for these purposes would harm its overall efforts in providing assistance to homeless people. This does not preclude the State's option to use this activity in future years' programs.

## **Coordination and Networking**

Close coordination and networking with other public and private agencies is imperative in the efforts to improve services to homeless persons under the ESG program. The state ESG program manager is also the manager of CSP and coordinates a number of human services programs including the CSBG. The purpose of the CSBG program is to allocate funds to local governments and various non-profit organizations to provide essential services to the most needy low-income persons and to improve coordination and networking with other programs.

Due to its nature, the CSBG program has, since its inception in Wyoming in 1982, worked very closely with a number of agencies and organizations that relate to low-income persons, and particularly, those that work with persons requiring shelter and related services. Some of these agencies are the Wyoming Department of Family Services, the State Medicaid Program, Department of Vocational Rehabilitation,

Division of Aging, State Economic Planning and Stabilization Board, Weatherization Services, the Commodity Distribution Program, local community service councils and boards, local human services groups, and many others, public, private, and volunteer.

Because the CSBG program is essentially the only one with a statutory responsibility to coordinate and help improve the linkages with the entire range of public and private resources at both the state and the local level to help low-income persons, the state is firmly committed to strengthening and further creating coordinative relationships in the efforts to improve assistance for homeless persons.

The ESG program coordinates with the VA homeless programs, a sound relationship that began in early 1987 when the state first became involved in the Stewart B. McKinney Act. The Sheridan Community Shelter, conducted by the Volunteers of America in Wyoming, is currently housed on the Veterans Administration facility in Sheridan.

Realistically, meaningful coordination among agencies involves a lengthy and usually slow process, and as a result the state has taken a pragmatic approach to encouraging coordinative efforts; that is, to develop strong relationships as opposed to simply "mandating coordination". Experience has clearly shown that true coordinative actions only occur when agencies are fully committed, and normally this process takes a substantial amount of time and effort to establish.

Local coordinative efforts are emphasized strongly to prospective sponsors of ESG related programs. One of the important criteria items for prospective sponsors to address in their grant applications is the issue of linkages and working relationships with other agencies. It becomes apparent from frequent discussions with local government personnel that the issue of coordination is equally important to them. Because of recent budget cuts, as well as other factors, most local governments that have been worked with agree that service providers must get the most out of their resources by working closely with other agencies. Experience has shown over the past several years that the issue of coordination of services is usually an important issue with local governments and their human services concerns.

Because there is a CSBG program in every county of the state and on the Wind River Indian Reservation, those counties not having shelters can refer and provide transportation for those needing shelter to areas that have formal shelters.

### **Monitoring**

Monitoring of local programs is conducted on an on-going basis by the state through monthly fiscal and performance reports as well as periodic on-site visits. Information derived from both types of audit are analyzed to ensure effective service delivery, proper program management, and compliance with all appropriate rules and regulations.

Monitoring of non-profit recipients or those agencies that will be directly providing program services is also conducted by the ESG funding recipients (local governments). The primary aim of state monitoring activities is to:

• Ensure that ESG program funds are used effectively to assist homeless individuals and families and that the basic ESG program goals are met;

- Ensure compliance with ESG regulations and program requirements in the usage of funds and carrying out program activities; and
- Enhance and develop the management capacity of grantees/recipients.

The following monitoring techniques will be utilized by the State to monitor programs and activities:

- Desk/file reviews, which entail the review and analysis of proposals, Grant Agreements, correspondence, monthly performance and fiscal reports, and other related information; and
- On-site reviews, which entail the review and analysis of records and documents at the local (grantee/provider) level and interviews with key staff and clients. The on-site review provides the opportunity to not only monitor the program performance and fiscal activities, but to provide on-site technical assistance to the local contractor/staff.

The State's monitoring activities include the following elements:

- Verification of grantee Grant Agreement compliance;
- Observation of grantee service provision and types of assistance provided;
- Submission of field visit reports certifying grantee program activities;
- Provision of training and technical assistance in direct services and administrative areas;
- Attendance at regularly scheduled grantee governing board meetings to observe board functions;
- On-site review of grantee governing board records/files and minutes to verify board composition;
- Assessment of grantee performance regarding operations and program activities;
- On-going contact with grantees in writing, by e-mail, by telephone, or at information-sharing meetings;
- Review of annual grant applications to assure compliance with Federal Assurances and State requirements; and
- Collection of data from grantees.

Local grantees or sponsors are required to submit standardized monthly financial reports which detail by budget cost category the expenditure of, and benefits from, ESG funds. CSP office staff review these reports for consistency with the currently approved budget, noting any unusual expenditure patterns. ESG funds are the primary focus of each review. Nevertheless, the scope and nature of such reviews provide a comprehensive picture of the fiscal integrity of the local agency as well as a general review of routine fiscal activities.

#### **Evaluation**

The evaluation process compliments the monitoring process in that formal evaluations of the local programs may be requested either by the state or by local overseers.

The State's approach to the evaluation process is a relatively simple one of measuring actual performance outcomes against planned outcomes of measurable goals and objectives, impact of programs on the community target group (homeless people), compliance with all appropriate rules, and regulations, and other appropriate measurements.

#### **Technical Assistance**

The State is committed to providing meaningful technical assistance as appropriate and to the degree possible.

### **Homeless Management Information Systems (HMIS)**

Emergency Shelter Grant Programs are required to use the Homeless Management Information System (HMIS) to report activities associated with services to homeless individuals and families in Wyoming. An HMIS initiative has been established to provide assistance to homeless shelter providers across the state.

The primary purpose of an HMIS is to gather and aggregate data on homelessness at local, state, and national levels to accurately describe the scope of the problem and the effectiveness of efforts to ameliorate it. Beyond data collection, HMIS provides significant opportunities to improve access to and delivery of services for people experiencing homelessness and to strengthen community planning and resource allocation. Many communities have recognized that manual data collection efforts are limited and may result in flawed decision making. Consequently, communities use a variety of models of HMIS planning and implementation. The national HMIS initiative (introduced through the congressional directive of 2000) reflects a nationwide interest both in understanding homelessness and in using longitudinal client level information to improve local and federal response efforts.

Within a specific community, HMIS can provide important benefits at the consumer, program, and system levels. Homeless program consumers indirectly benefit from services improvements derived from system analysis and directly gain through streamlined referrals, coordinated case management, and benefits eligibility. HMIS offers front-line homeless service program staff tools for faster, more effective client services through improved referrals, interagency case management, and service coordination.

Agency administrators can better manage operational information through access to a variety of agency, program, and client-level reports. Policymakers and advocates benefit from access to system-wide data describing the extent and nature of homelessness and a greater understanding of service usage, effectiveness, and gaps. This information can be used to target limited resources and inform community planning and policy decisions. Regional and statewide HMIS implementation offers an opportunity to achieve all of these service coordination and policy benefits across even greater geographic areas.

An HMIS is composed of modules that provide a variety of functions and track different types and levels of client and service information. Basic HMIS components include client intake, case management, service tracking, information and referral, and a report generation tool.

## **Primary Religious Organizations**

The State of Wyoming abides by the constitutional limitations on the use of ESG funds by "primarily religious organizations". The First Amendment of the Constitution provides that "Congress shall make no law respecting an establishment of religion". In accordance with this constitutional principle, the Supreme Court has directed that statutes affording public assistance must have a primary effect that

neither advances nor inhibits religion. (See <u>Lemon</u> v. <u>Kurtsman</u>, 403 U.S. 603 (1971). In <u>Hunt</u> v. McNair, 413 U.S. 734 (1973) the Court stated:

"Aid normally may be thought to have a primary effect of advancing religion when it flows to an institution in which religion is so pervasive that a substantial portion of its functions are subsumed in the religion mission or when it funds a specifically religious activity in an otherwise substantially secular setting." Id. At 742.

The determination for Constitutional compliance thus requires an examination of the extent to which religion pervades an entity's functions. In addressing this issue, Justice Blackman, speaking for the majority in Roemer v. Maryland Public Works Board, 426 U.S. 736 (1976) declared:

"to answer the question whether an institution is so 'pervasively sectarian' that it may receive no direct State aid of any kind, it is necessary to paint a general picture of the institution." Id. At 758."

Determinations in this regard will generally turn on the extent to which religion is infused in the organization's functions, as reflected in its charter, by-laws, publications, or other evidence related to its stated purposes, organization, control membership, and operations, including the nature of, and eligibility for participation in the activities, services and benefits it provides.

It should be understood that law does not prohibit a private non-profit organization deemed pervasively sectarian from carrying out eligible activities permitted by the Stewart B. McKinney Act so long as such activities are carried out in a manner free from religious influences pursuant to conditions prescribed in the assistance agreement.

Assistance may be provided to a grantee or recipient that is a primarily religious organization if the primarily religious organization agrees to provide all eligible activities under the ESG program in a manner that is free from religious influences and in accordance with the following principles:

- 1. It will not discriminate against any employee or applicant for employment on the basis of religion and will not limit employment or give preference in employment to persons on the basis of religion;
- 2. It will not discriminate against any person applying for shelter or any of the eligible activities under the ESG program on the basis of religion and will not limit such housing or other eligible activities or give preference to persons on the basis of religion; and
- 3. It will provide no religious instruction or counseling, conduct no religious worship or services, engage in no religious proselytizing, and exert no other religious influence as criteria for the provision of shelter and other eligible activities under the ESG program.

Under these provisions, a primarily religious organization (or wholly secular organization established by a primarily religious organization) must agree to provide housing and emergency services in a manner that is free from religious influence. In this connection, the provider must: (1) not discriminate against any employee or applicant for employment on the basis of religion and not limit employment or give employment preference to people on the basis of religion; (2) not discriminate against, or limit the

provision of housing or emergency services on the basis of religion; and (3) provide no religious instruction or counseling, conduct no religious worship or services, engage in no religious proselytizing, or otherwise exert no religious influence as a criteria for the provision of housing or emergency services.

In summary, the underlying principles in these rules, namely, that a primarily religious organization or wholly secular organization established by a primarily religious organization can only provide housing and emergency services in a manner that is free from religious influence.

### **Assumptions**

Decisions made and actions taken by the State are founded on the following premises:

- 1. Homeless people are usually not able to meet their emergency needs, particularly those that are food and health related;
- 2. Homeless people do not always make effective use of the resources available to them;
- 3. Virtually all homeless people are unemployed or under-employed;
- 4. Many homeless people have had less than an average amount of formal education;
- 5. The problems associated with homeless people are essentially local problems and must be dealt with at that level;
- 6. Knowledge of successful strategies and systems in communities must be transferred and adapted to other communities;
- 7. Homeless people are often very difficult to locate and very difficult to help;
- 8. Homeless people generally have very limited exposure to information about the programs that are available to them;
- 9. Homeless people generally do not know how (or may be reluctant) to file, pursue, or appeal a claim for benefits; and
- 10. Virtually all homeless people have service needs that go far beyond temporary shelter.

### **Principles**

Decisions made and actions taken by the State will reflect the following:

- 1. Funds will be directed toward problem solving and capacity building at the local level that focus on the problems of homeless people;
- 2. The State will limit the policies it adopts and uses to those that are absolutely essential to meet the requirements of the Act and the State Plan, and to those necessary to ensure that effective services and management standards are met;
- 3. The State will not determine the activities of local programs other than assuring that they are completely within the intent of the Act and the State Plan;
- 4. The fiscal and programmatic activities of local program will be of the highest quality possible;
- 5. Funds will not be used in a manner that leaves either local programs or program participants dependent upon the long-term availability of the funds;
- 6. The State will consult with, and earnestly solicit input from, persons and organizations throughout the State for the purpose of improving assistance to homeless people;
- 7. The long range goal of the State is to have effective services for homeless people in all areas of the State wherever possible and practicable;
- 8. The homeless population is diverse and its characteristics are unique to a particular city or region, therefore, the locality is best situated to determine homeless needs;
- 9. The sources of resources and collaborative relationships vary depending on the locality. Existing relationships and levels of commitment by the governments and not-for-profit organizations vary in strength;
- 10. The level of development of services and housing is different from area to area and only the locality has a complete picture of its existing inventory;
- 11. The locality can determine what "gaps" exist in the current system by assessing the homeless population and the current inventory of housing and services designed to meet the needs of homeless people;
- 12. The goal for every homeless person is self-sufficiency. The continuum of care system must have appropriate job training, child care and job placement services for those who need them to move from homelessness to housing and independent living;
- 13. The goal for every homeless provider is to place people in permanent situations, thereby allowing them to live independently to the greatest extent possible;

- 14. As human needs are interconnected, so must be the service delivery system; only through coordination can all elements of an individual's needs be addressed;
- 15. There must be three systematic components: emergency, transitional, and permanent either all must work together or all will fail separately;
- 16. The vertical, categorical structure of the current homeless programs must be reorganized into a horizontal seamless continuum, as policies and programs should be driven by the comprehensive needs of the community, not by the caprice of separate grant applications and funding cycles; and
- 17. Placing trust in the experts in the "field" such as specialty service providers is the key to success of the continuum of care system; we should rely upon those with experience and dedication to do what only they do best.

#### **Redistribution of Funds**

Expenditures of funds will be closely monitored by the State. If it appears after implementation that a recipient is not expending its funds commensurate with its budget proposal, the State may redistribute the funds.

### **Sanctions/Suspension or Termination of Funds**

If the State determines that a State recipient or its non-profit recipient is not complying with the requirements of the ESG program regulations or other applicable laws, rules, or regulations, the State may take appropriate actions, such as:

- Issue a warning letter that further failure to comply with such requirements will result in a more serious sanction;
- Condition a future grant;
- Direct the recipient to stop the incurring of costs with ESG funds;
- Require that some or all of the grant amounts be remitted to the State;
- Reduce the level of funds the recipient would otherwise be entitled to receive; or
- Elect not to provide future ESG funds to the recipient until appropriate actions are taken to ensure compliance.

Any ESG program funds that become available to the state as a result of a sanction will, at the option of the state, be made available as soon as practicable to other recipients located in the State for use within the time periods specified in Section 576.55(a)(2) of the ESG regulations, or to U.S. HUD for reallocation under Section 576.67(d) of the ESG regulations.

Action to suspend or terminate a Grant Agreement will only be taken after other less drastic measures have been tried and when it is apparent that the recipient cannot or will not take necessary corrective action.

### Recapturing

The State will recapture any ESG program funds that a State recipient (service provider) does not obligate and expend within the time period specified for the program. The State, at its option, will make these funds and other funds returned to the State (except amounts referred to in section 675.22 of the ESG program regulations; funds used for ineligible activities) available as soon as practicable, to other State recipients for use within the time period specified (within 24 months of the date on which the state made the funds available to the State recipients), or to U. S. HUD for reallocation.

### **Matching Supplemental Funds**

All recipients of ESG funds must match the amount of funding with an equal amount of funds from sources other than the ESG Program. These matching supplemental funds must be reported on page 3 of the "Monthly Expenditures and Cash Reconciliation Report" to CSP on a monthly basis.

### Eligibility/Compliance

Recipients must maintain their eligibility to receive ESG program funds and must be in compliance with applicable laws, regulations, and contractual agreements. This will apply whether they are directly receiving ESG program funds from the State or if they are involved in a sub-contractual agreement with another recipient. The State reserves the right to examine all aspects of ESG and related operations of recipients at any time to ensure that this is the case.

#### **Time Periods**

At the inception of the ESG program in Wyoming in the late eighties, the program FY was from May 1 through April 30. Beginning in FFY 1998, the fiscal period was March 1 through February 28 (or February 29 on leap years). Beginning with calendar year 2008, the program began on January 1 and terminates on December 31. In FY 11, the program continues to operate on the calendar year.

#### **Amendments or Waivers**

Grant Agreements between the State and its recipients will be binding on both parties in all respects. However, recipients will be allowed limited flexibility in regard to making minor adjustments in program goals, activities, and budget adjustments without having to seek a formal Grant Agreement amendment or waiver.

Requests for major modifications of Grant Agreements should be submitted in writing from the recipient to the State. Any major program changes must be approved in writing by the State, along with a formal Grant Agreement addendum.

Question concerning what constitutes a "major" and/or "minor" amendment should be addressed to the Community Services Programs.

### **Appeals (Clients or Applicant)**

Any decision or action by the State that has a significantly adverse impact on an applicant or client may be appealed by the affected applicant or client by using the "Client or Applicant Appeals Process" (See Exhibit B-1)

### **Appeals (Program or Recipient)**

Any decision or action by the State that has a significantly adverse impact on a recipient's program may be appealed by the affected recipient by using the "Program or Recipient Appeals Process" (See Exhibit B-2).

### **Civil Rights**

The State, its State recipients, and non-profit recipients will ensure that all applicable statutory provisions will be strictly adhered to.

### **Confidentiality**

Information gathered on all applicants and program clients will be treated as confidential on all program levels. Access will be limited strictly to those people with legitimate need to administer and operate the State ESG program and its local programs.

#### **Administrative Costs**

Consistent with the provisions of Section 832 of P.L. 101-625, no more than 5% of the State's annual grant will be used for administrative purposes. Such funds will be shared among the State and its recipients.

### **Responsibility for Grant Administration**

The grantee (The State of Wyoming) is responsible for ensuring that ESG program funds are administered in accordance with the requirements of the ESG regulations and other applicable laws. In the case of the State making ESG funds available to State recipients (local governments), and in the case of local governments distributing ESG program funds to non-profit recipients (private non-profit organizations), the State and the local governments are responsible for ensuring that their respective recipients carry out the recipients' ESG programs in compliance with all applicable requirements.

## **Record Keeping**

The grantee and its State recipients and non-profit recipients must ensure that records are maintained for a minimum of six years to document compliance with the provisions of the ESG regulations.

#### **Fiscal Control**

The State, its State recipients, and non-profit recipients will all use financial management systems and procedures that conform to the generally accepted accounting principles, financial records, and related fiscal matters.

#### **Audits**

The financial management system used by the State (the grantee) and by the local government (the State recipient) will provide for an annual audit in accordance with 24 CFR part 44 (OMB Circular A-133).

The financial management system used by the private not-for-profit organizations (non-profit recipients) will provide for an annual audit in accordance with OMB Circular A-110.

### **Reporting Procedures**

The State will provide performance and financial reports to U.S. HUD as required by federal law.

Non-profit recipients who are the direct program operators will provide the State recipients and the State with monthly fiscal reports, as well as monthly performance reports which will contain information needed for federally required state reports, as well as information designed to help state and local future planning efforts, i.e., nights lodging, number of people provided services, number of people provided shelter, referrals to other agencies, meals provided, and in-kind matching information. Other data collected may be submitted to the State relative to programs' trends, patterns, and/other useful information gathered by the recipients.

This type of information is currently gathered by the respective recipients and, consequently should not prove over-burdensome.

### **Assurances and Certifications**

The State of Wyoming is required to certify to the U.S. Department of HUD that the proposed activities to be implemented with the ESG funds will meet the requirements of the Stewart B. McKinney Homeless Assistance Act, and other appropriate laws.

Such certifications (or assurances) will also be a formal requirement for prospective sponsors of the ESG program funds in Wyoming and will serve to establish the overall goals of each sponsor's activities to be implemented through the funds and evaluated.

The State's affirmation that the assurances contained in the Act are carried out will be as a result of close monitoring of both state and local level activities.

## Regulations

The State will not develop policies beyond those absolutely essential to successfully carry out the provisions of the Stewart B. McKinney Act, as amended, and it's implementing regulations for the ESG program. Policies will be issued only as necessary in the format of policy memorandum to all State recipients and non-profit recipients. Such policies will be designed to assist programs in meeting appropriate federal, state, and local requirements. The State will assure that any additional federal or State regulations adopted affecting the local programs during the grant period are provided to the local programs. Clearly, the State does not intend to impose unrealistic and cumbersome policies but needs to ensure compliance with the intent of the Act and other appropriate policies.

### **Grant Agreements**

A formal Grant Agreement will serve as the basis for the allocation of all ESG funds. This form and its appropriate attachments, (the recipient's application, plan, and certifications) will constitute a binding agreement between the State of Wyoming (the grantee) and local governments (State recipients) once it is signed by officials of both parties as well as the State Attorney General's Office.

State recipients will also utilize the same system with regard to them and their non-profit recipients.

### **Termination of Assistance/Program Applicants or Clients**

If an individual or family who receives assistance under the Act violates program requirements, the recipient (the local government or its nonprofit service delivery recipient) may terminate assistance in accordance with a formal process established by the recipient that recognizes the rights of individuals affected. An integral part of recipients' formal process for termination of assistance to individuals or families is the Client of Applicant Appeal Process. All applicants or clients whose homeless assistance under the ESG Program is to be denied or terminated will be afforded the opportunity to have a hearing under the Client or Applicant Appeal Process.

Recipients will maintain a file which documents all cases of denial or termination of assistance to program participants. Such file will include all appropriate and pertinent information relative to the respective cases of terminated individuals and/or families.

### **Participation of Homeless Individuals**

The State of Wyoming, Community Services Programs office strongly encourages and solicits input from homeless individuals and families in the planning process as well as in the operations of homeless programs. The State Office requires local service providers to involve homeless people to the extent possible, particularly in the planning phase of projects, and also after implementation. Local service providers routinely have homeless people and/or ex-homeless people on their governing boards, and/or their advisory councils. Homeless clients are also invited to participate in program meetings regarding policies and operations of the respective programs. Live-in residents of homeless shelters have been used substantially in terms of their input to program plans, policies, and practices. Evidence of, and specific information on, comments derived from homeless people's participation is required in each local service provider's application to the State.

### **Citizen Participation**

Consolidating the submission requirements creates the opportunity for strategic planning and citizen participation to take place in a comprehensive context, and to reduce duplication of efforts at the state and local level. It allows local governments, community organizations, developers, and citizens to address the larger picture in which the programs operate. It also offers state and local jurisdictions a better chance to shape the various programs into effective, coordinated, regional, community, and neighborhood strategies.

The consolidated strategy and plan furthers the statutory goals through a collaborative process whereby a state and its many constituencies establish a unified vision for community revitalization. The vision outlines the state's overall policies and objectives for housing and community development throughout the state and estimates the state's housing needs for the ensuing five year period.

The Governor of Wyoming designated the Wyoming Community Development Authority as the lead entity for submission of the State Consolidated Plan.

The plan has been developed in coordination with the Wyoming Business Council; WDH's HealthCare Financing Division, Preventive Health and Safety Division (PHSD), Aging Division; the Governor's Planning Council on Developmental Disabilities, and citizen participation from city and county governments, private developers, non-profit agencies, housing authorities, and private citizens.

The original citizen participation process for the Five Year Strategy began in November 1997 with a public notice in the statewide newspaper, press releases to all state newspapers, a memorandum mailed to over 850 local government officials, county commissioners, community and economic development offices, non-profit agencies, those persons and agencies on mailing lists for different affordable housing programs, county health offices, family planning units, utility companies, housing authorities, senior facilities, chambers of commerce, Native American Tribal Planning Departments, mental health agencies, agencies dealing with homeless and low-income issues, lending institutions, and real estate professionals.

Five citizen participation meetings were held throughout the state during the original strategy planning period. The agenda at the public hearings includes an informational meeting preceding citizen comments to acquaint the attendees with the consolidated plan process and the four formulas grant programs. Information included Consolidated Plan philosophy, citizen participation, plan development, past funding levels, distribution patterns, and eligibility criteria. The presentations also included past program recipient information and discussion on lead-based paint, homelessness, fair housing, and HIV/AIDS facts. The information part of each meeting was conducted by representatives from the agencies responsible for CDBG, HOME, and ESG.

In October of 2000, over 700 notices were mailed or faxed to announce the public hearings to be held for the Action Plan for 2001. The Public Hearings were held via the state's Compressed Video Network. By utilizing this system, The State was able to hold one Public Hearing accessible to citizens in 11 different locations: Casper, Cheyenne, Evanston, Gillette, Jackson, Laramie, Powell, Rawlins, Riverton, Rock Springs, and Sheridan. Public Notices announcing the public hearing locations were printed in the local newspapers of each community in which there was a public hearing. Approximately 50 people were in attendance at this Public Hearing. Critique sheets were passed out at each of the

video sites and an overwhelming majority of the people in attendance liked having the public hearing available to them via this video teleconference system.

In March of 2006, over 500 notices were mailed out to announce the public hearings to be held for the 2007 Action Plan. Public Notices were printed in the local newspapers of each community in which there was a public hearing. Press releases also appeared in several newspapers across the state. In May 2006, the public hearing was held in 11 Wyoming communities via the Wyoming Compressed Video Network with over 45 people in attendance.

The WCDA has also designed a continuing education course for real estate professionals, which provides an in-depth explanation of HOME, CDBG, Low Income Housing Tax Credits, and the WCDA Single Family Program.

### **Program Sponsors – State Recipients and Non-profit Recipients**

All ESG program funds allocated to the State of Wyoming (the grantee) will be distributed to local governments and non-profit recipients. The State recipients will redistribute all of their ESG program funds to local non-profit organizations (non-profit recipients) that work closely with homeless people, i.e., emergency shelters, homeless self-sufficiency programs, and emergency assistance-oriented programs.

During the past fiscal period (January 1 through December 31, 2010) ESG program funds were allocated to:

- 1. Campbell County Council of Community Services;
- 2. Fremont County Good Samaritan Center;
- 3. Community Action of Laramie County, Inc.;
- 4. COMEA House
- 5. Community Action Partnership of Natrona County;
- 6. Yellowstone Country Assistance Network; and
- 7. Sheridan Community Shelter.

All non-profit recipients who received ESG program funds will meet the federal definition of "Private non-profit organizations", which means a secular or religious organization described in section 501(c) of the Internal Revenue Code of 1988 which:

- 1. Is exempt from taxation under subtitle A of the Code;
- 2. Has an accounting system and a voluntary governing board; and
- 3. Practices nondiscrimination in the provision of assistance.

### **Funding Allocation**

Allocations from the grantee (WDH, RFHD, CSP) to its State recipients (local governments and non-profit recipients) are essentially based upon a "needs and resources" basis. Planning estimates related to need for shelter services from those areas that have emergency shelters are the core of the allocation formula. The major factors relating to the funding allocation to State recipients are: (1) numbers of homeless individuals and families requiring assistance; (2) nights of lodging (shelter) required; (3) meals provided; (4) local resources available for homeless individuals and families; and (5) the local economy. As an example, the larger counties traditionally have had substantially more resources to deal with the homeless problem. They have had more sources of funding than the smaller, rural areas, i.e., United Way, FEMA, county, and/or municipal funds, and normally much higher donations from churches, businesses, corporations, and the general citizenry. As an example, United Way and FEMA are only in a few locations in Wyoming, and the smaller programs have not had the fortune to be helped by these agencies. Further, small, rural local governments simply do not have the funds to assist these programs, as the larger local governments do. Also donations from churches, businesses, and corporations are very minimal in small counties because of their low population base and limited economy.

The State of Wyoming Homeless Population Surveys were also used as an indicator when arriving at local allocations to homeless programs and projects. Further, statistics of people provided services by various service categories from local homeless programs were used as verification of the degree of need for homeless assistance.

The FY 2011 allocation is unknown as of the publication of this document. The following chart shows distribution of \$184,531.00 allocated in FFY 2010, and will be adjusted as necessary based on actual allocations and awardees.

State	Non-Profit	Total	Portion of Allocation
Recipient	Recipient	Allocation	Allowable for Administration
Campbell County	The Way Station	\$28,500.00	\$1,285.00
Council of Community			
Services			
Fremont County Good	Fremont County	\$27,500.00	\$1,240.00
Samaritan Center	Good Samaritan		
	Center		
Community Action of	Community	\$6,480.00	\$300.00
Laramie County	Action of		
	Laramie County		
COMEA House and	COMEA House	\$37,600.00	\$1,700.00
Resource Center	and Resource		
(Laramie County)	Center		
Community Action	Community	\$36,700.00	\$1,660.00
Partnership of Natrona	Action		
County	Partnership of		
	Natrona County		
Yellowstone Country	Yellowstone	\$6,480.00	\$300.00
Assistance Network	Country		
(Park County)	Assistance		
	Network		
Sheridan County	Sheridan	\$27,500.00	\$1,240.00
Commission	Community		
	Shelter		
	(Volunteers of		
	America)		
Teton County Good	Teton County	\$12,850.00	\$580.00
Samaritan Mission	Good Samaritan		
	Mission		
	Sub-Total	\$183,610.00	(4.5%) \$8,305.00
	State	921.00	$(0.5\%) \qquad \underline{921.00}$
	Administration		(5.0%) \$9,226.00
	Total	<u>\$184,531.00</u>	
	Administration		
	Grand Total		

#### **EXHIBITS**

<u>Documents(s)</u>	Exhibit #
Required Action(s) for Local Applications to State	
Local Matching Funds Certification	A-1
Local Lobbying Certification	A-2
Local ESG Compliance Certification	A-3
ESG Budget Summary Form	A-4
ESG Salaries and Wages Form	A-5
ESG Signatory Delegation of Authority Form	A-6
Required Action(s) for Local Program Operations	
Client or Applicant Appeal/Hearing Process	B-1
Program (Recipient) Appeal Hearing Process	B-2
ESG Fiscal and Performance Report Process	B-3
Forms & Instructions	following B-3
State and Local Informational Material(s) Relevant to ESG	
Wyoming Homeless Collaborative	C-1
ESG Definitions	C-2
State ESG Certifications	C-3
State Consolidated Plan Certifications	C-4
Appendix to Certifications	C-5

#### ESG (EMERGENCY SHELTER GRANT PROGRAM)

#### CERTIFICATION OF MATCHING FUNDS

The	certifies that the matching
supplemental funds required by the ESG regulations at 24 CFR 576.71	and 576.85(a)(3) will be
provided. Attached to this certification is a description of the sources and amount	
funds. Matching supplemental funds will be reported monthly along with t	-
reports to the State of Wyoming, Department of Health, Rural and Frontier He Services Programs.	ealth Division, Community
Services i rograms.	
(Name and Title)	
(Name and Title)	
(Signature)	(Date)

<u>Calculating the matching amount:</u> There may be included the value of any donated material or building; the value of any lease on a building; any salary paid to the staff of the grantee in carrying out the ESG Program.

The time and services contributed by volunteers to carry out the ESG Program activities, determined at the rate of \$5.00 per hour.

Donated labor. Provide an estimate of the cost involved for labor that was donated. Normally, this will be at the rate of \$5.00 per hour unless the labor was technically much higher; if so, the going rate for that particular skill or vocation may be used.

Donated food. Provide an estimate of the cost involved for food that will be donated to the program for ESG purposes.

Donated clothing (and related). Provide an estimate of the cost involved for clothing and other donations that were donated ESG purposes.

Cash donations. Maintain an accounting of the cash donations received for the ESG Program.

The value of any donated material or building, or the value of any lease or mortgage on the building. <u>Note:</u> Amounts that will be used from the ESG grant to pay for a lease or mortgage or rent cannot be used as match; only that portion that will not be paid for by ESG grant funds is allowable.

I,

## ESG (EMERGENCY SHELTER GRANT PROGRAM)

## PROHIBITION OF THE USE OF FEDERAL FUNDS FOR LOBBYING CERTIFICATION

, authorized to act on behalf of

the, certify to the best of n belief, that:	ny knowledge and
No Federal appropriated funds have been paid or will be paid, by or on behalf of person for influencing or attempting to influence an officer or employee Member of Congress, an officer or employee of Congress, or an employee Congress, in connection with the awarding of any Federal loan, the entercooperative agreement, or the extension, continuation, renewal, amendment, of any Federal Grant Agreement, grant, loan, or cooperative agreement.	of any agency, a of a Member of ering into of any
If any funds other than Federal appropriated funds have been paid or will be proposed for influencing or attempting to influence an officer or employee of any ager Congress, an officer or employee of Congress, or an employee of a Member connection with this Federal Grant Agreement, grant, loan, or cooperative agricultures and submit Standard Form-LLL, "Disclosure Form to Reposition with its instructions.	ncy, a member of or of Congress, in reement, the State
The State shall require that the language of this certification be included in the for all subawards at all tiers (including subcontracts, subgrants, and Grant A grants, loans, and cooperative agreements) and that all subrecipients shall ce such information accordingly.	Agreements under
(Name and Title)	
(Signature)	(Date)
	No Federal appropriated funds have been paid or will be paid, by or on behalf of person for influencing or attempting to influence an officer or employee. Member of Congress, an officer or employee of Congress, or an employee Congress, in connection with the awarding of any Federal loan, the entercooperative agreement, or the extension, continuation, renewal, amendment, of any Federal Grant Agreement, grant, loan, or cooperative agreement.  If any funds other than Federal appropriated funds have been paid or will be proven influencing or attempting to influence an officer or employee of any age. Congress, an officer or employee of Congress, or an employee of a Member connection with this Federal Grant Agreement, grant, loan, or cooperative agriculture and submit Standard Form-LLL, "Disclosure Form to Repeat accordance with its instructions.  The State shall require that the language of this certification be included in the for all subawards at all tiers (including subcontracts, subgrants, and Grant Agrants, loans, and cooperative agreements) and that all subrecipients shall ce such information accordingly.  (Name and Title)

## LOBBYING CERTIFICATION

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less that \$10,000 and not more than \$100,000 for each such failure.

#### EXHIBIT A-3

## ESG (EMERGENCY SHELTER GRANT PROGRAM)

## LOCAL PROGRAM COMPLIANCE CERTIFICATIONS

(Page 1 of 5)

The use of the ESG funds must comply with the following additional requirements. Certification as to compliance with these requirements is required by State Recipients (local governments) and Nonprofit Recipients (nonprofit organizations). Completion of this certification can be accomplished by completing and affixing the appropriate signature(s) on the last page of this certification package.

- (1) In the case of assistance involving major rehabilitation or conversion, it will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for not less than a 10-year period.
- (2) In the case of assistance involving rehabilitation of less than that covered under paragraph (1) of this section, it will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for not less than a 3-year period.
- (3) In the case of assistance involving essential services (including, but not limited to employment, health, drug abuse, or education) or maintenance, operation, insurance, utilities and furnishings, it will provide services or shelter to homeless individuals and families for the period during which ESG assistance is provided, without regard to a particular site or structure as long as the same general population is served.
- (4) Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.
- (5) It will assist homeless individuals in obtaining appropriate supportive services, including permanent housing, medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living, and other Federal, State, local, and private assistance available for such individuals.
- (6) It will obtain matching amounts required under 24 CFR Part 576, Section 576.71.
- (7) It will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project except with the written authorization of the person responsible for the operation of that shelter.
- (8) To the maximum extent practicable, it will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under this program, in providing services assisted under the program, and in providing services for occupants of facilities assisted under this program.
- (9) If the ESG program is following a current HUD-approved Consolidated Plan.

(Page 2 of 5)

- (10) The requirements of 24 CFR 576.21(a)(4)(ii) which provide that the funding of homeless prevention activities for families that have received eviction notices or notices of termination of utility services meet the following standards: (A) that the inability of the family to make the required payments must be the result of a sudden reduction in income; (B) that the assistance must be necessary to avoid the eviction of the family or termination of utility services; (a) that there must be a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and (D) that the assistance must not supplant funding for preexisting homeless prevention activities from any other source.
- (11) The requirements of 24 CFR 576.51(b)(2)(iii) concerning the submission, by nonprofit organizations applying for funding, of a certification of approval of the proposed project(s) from the unit of local government in which the proposed project(s) is (are) located.
- (12) The requirements of 24 CFR 576.51(b)(2)(v) concerning the funding of emergency shelter in hotels or motels or commercial facilities providing transient housing.
- (13) The requirements of 24 CFR 576.73 concerning the continued use of buildings for which ESG funds are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or whenever funds are used solely for operating costs or essential services, concerning the population to be served.
- (14) The building standards requirements of 24 CFR 576.75.
- (15) The requirements of 24 CFR 576.77 concerning assistance to the homeless.
- (16) The requirements of 24 CFR 576.79, other appropriate provisions of 24 CFR Part 576, and other applicable Federal laws concerning nondiscrimination and equal opportunity.
- (17) The requirement of 24 CFR 576.80 concerning the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.
- (18) The requirements of 24 CFR 576.80 concerning minimizing the displacement of persons as a result of a project assisted with these funds.
- (19) The requirement of the National Affordable Housing Act (P.L. 101-625, November 28, 1990) contained in Section 832(e)(2)<sup>®</sup>) that grantees develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under projects assisted under the ESG Program and "that the address or location of any family violence shelter project assisted" under this program "will, except with written authorization of the person or persons responsible for the operation of such shelter, not be made public."
- (20) The requirements of 24 CFR Part 24 concerning the Drug Free Workplace Act of 1988.
- (21) The provisions of, and regulations and procedures applicable under, Section 104(g) of the Housing and Community Development Act of 1974 with respect to the environmental review responsibilities under the National Environmental Policy Act of 1969 and related authorities as specified in 24 CFR Part 58, as applicable to activities of nonprofit organizations.

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- (22) The provisions of Section 104(g) of the Housing and Community development Act of 1974 concerning the state recipient's and nonprofit recipient's assumption of the State's responsibility and authority for acting on the environmental certifications and requests for release of funds submitted to the State of Wyoming by general local government recipients and nonprofit recipients.
- (23) The provisions of 24 CFR 576.71 and 576.85(a), as amended by Section 832(e)(2)<sup>®</sup>) of the National Affordable Housing Act (P.L. 101-625, November 28, 1990), concerning the submission of a separate certificate for the provision of matching funds requirement, and a required description of the sources and amounts of such supplemental matching funds, as provided by the general local government and the nonprofit organization, to the Wyoming Community Services Programs.
- (24) The requirements of the Fair Housing Act (42 U.S.C. 3601-20) and implementing regulations at 24 CFR Part 100; Executive Order 11063 and implementing regulations at 24 CFR Part 107; and Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4) and implementing regulations issued at 24 CFR Part 1.
- (25) The prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and implementing regulations at 24 CFR Part 146; and the prohibitions against discrimination against otherwise qualified individuals with handicaps under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and implementing regulations at 24 CFR Part 8. For the purpose of the ESG, the term "dwelling units" in 24 CFR Part 8 shall include sleeping accommodations.
- (26) The requirements of Executive Order 11246 and the regulations issued under the Order at 41 CFR Chapter 60.
- (27) The requirements of Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (see section 570.607(b) of this chapter).
- (28) The requirements of Executive Orders 11625, 12432, and 12138. Consistent with HUD's responsibilities under these Orders, the grantee and its recipients must make efforts to encourage the use of minority and women's business enterprises in connection with activities funded under this part.
- (29) The requirement that the grantee (or in the case of the State, the State recipient) make known that use of the facilities and services is available to all on a nondiscriminatory basis. Where the procedures that a grantee or recipient intends to make known the availability of such facilities and services are unlikely to reach persons with handicaps or persons of any particular race, color, religion, sex, age, or national origin within their service area who may qualify for them, the grantee or recipient must establish additional procedures that will ensure that these persons are made aware of the facilities and services. Grantees and recipients must also adopt and implement procedures designed to make available to interested persons information concerning the existence and location of services and facilities that are accessible to persons with a handicap.

(Page 4 of 5)

- (30) The policies, guidelines, and requirements of 24 CFR Part 85 (codified pursuant to OMB Circular No. A-102) and OMB Circular No. A-87, as they relate to the acceptance of use of emergency shelter grant amounts by the State and local governments, and Nos. A-110 and A-122, as they relate to the acceptance and use of ESG funds by private nonprofit organizations.
- (31) Lead-based paint. The requirements, as applicable, of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4646) and implementing regulations at 24 CFR Part 35. In addition, the grantee (or in the case of the State, the State recipient) must also meet the following requirements relating to inspection and abatement of defective lead-based surfaces;
  - (A) Treatment of defective paint surfaces must be performed before final inspection and approval of the renovation, rehabilitation, or conversion activity under this part; and
  - (B) Appropriate action must be taken to protect shelter occupants from the hazards associated with lead-based paint abatement procedures.
- (32) Conflicts of interest. In addition to the conflict of interest requirements in OMB Circulars A-102 and A-110, no person---
  - (A) Who is an employee, agency, consultant, officer, or elected or appointed official of the grantee, State recipient, or nonprofit recipient (or of any designated public agency) that receives ESG funds; and
    - (2) Who exercises or has exercised any functions or responsibilities with respect to assisted activities; or
  - (B) Who is in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a personal or financial interest or benefit from the activity, or have an interest in any Grant Agreement, subcontract, or agreement with respect thereto, or the proceeds thereunder, either for him or herself or for those with whom he or she has family or business ties, during his or her tenure, or for one year thereafter. HUD may grant an exception to this exclusion as provided in Section 570.611(d) and (e) of this chapter.
- (33) Use of debarred, suspended, or ineligible contractors. The provisions of 24 CFR Part 24 relating to the employment, engagement of services, awarding of contracts or funding of any contractors or subcontractors during any period of debarment, suspension or placement in ineligibility status are applicable to grantees and recipients under this part.
- (34) Flood insurance. No site proposed on which renovation, major rehabilitation, or conversion of a building is to be assisted under this part, other than by grant amounts allocated to the State under Section 576.43 of the ESG regulations, may be located in an area that has been identified by the FEMA (Federal Emergency Management Agency) as having special flood hazards, unless;
  - (A) (1) The community in which the area is situated is participating in the National Flood Insurance Program and the regulations thereunder (44 CFR Parts 59 through 79); or

(Page 5 of 5)

- (2) Less than a year has passed since FEMA notification regarding such hazards; and
- (B) The grantee will ensure that flood insurance on the structure is obtained in compliance with Section 102(a) of the Flood Disaster Production Act of 1973 (42 U.S.C. 4001 et seq.).
- (35) Coastal barriers. In accordance with the Coastal Barrier Resources Act, 16 U.S.C. 3501, no financial assistance under this part may be made available within the Coastal Barrier Resources System.
- (36) Drug Free Workplace Act of 1988. Each grantee is required to certify that it (and its recipients) will maintain a drug-free workplace in accordance with the requirements of 24 CFR Part 24, subpart F.
- (37) Audit. The financial management system used by the State and local government that is a State recipient must provide for audits in accordance with 24 CFR Part 44. A private nonprofit organization is subject to the audit requirements of OMB Circular A-110.
- (38) Intergovernmental review. The requirements of Executive Order 12372 and the regulations issued under the order at 24 CFR Part 52, to the extent provided by Federal Register notice in accordance with 24 CFR 52.3.

will comply with all the provision
ntaining items (1) through (38).
(Date)

# **BUDGET SUMMARY**

# **Section 1: Applicant Information**

1.	Name:
2.	Address:
3.	Contact Person/Telephone Number:
4.	Budget Period:

COST CATEGORY	ESG FUNDS	OTHER FUNDS	COMBINED FUNDS
PERSONNEL SERVICES			
Salaries & Wages			
Employer Paid Benefits			
SUPPORTIVE SERVICES			
Telephone			
Postage			
Utilities			
Travel In-State			
Travel Out-of-State			
Supplies:			
Consumables			
Printing			
Publications			
Equipment Purchases			
Real Property Rental			
Equipment Rental			
GRANTS-IN-AID			
CONTRACTUAL SERVICES			
SUBTOTAL COSTS			
INDIRECT COSTS			
TOTAL COSTS			

## **SALARIES & WAGES SUMMARY**

# **Section 1: Applicant Information**

1.	Name:
2.	Address:
3.	Contact Person/Telephone Number:
4.	Budget Period:

TITLE/POSITION	ANNUALIZED SALARY	NUMBER OF MONTHS	PERCENT OF TIME	ESG SHARE

TOTALS CARRIED FORWARD FROM ATTACHED PAGES (IF ANY):						
			`			
GRANI	D TOTAL:					

# ESG CONTRACTOR OFFICIAL SIGNATORY AUTHORITY DELEGATION AUTHORIZATION FORM

THE PURPOSE OF THIS FORM IS TO OBTAIN & MAINTAIN AN OFFICIAL RECORD OF THE AUTHORIZED SIGNATORY(S) FOR THE <u>ESG STATE PAYMENT VOUCHERS</u> AND FOR THE <u>ESG MONTHLY EXPENDITURES & CASH RECONCILIATION REPORTS.</u>

# THIS FORM DOES NOT APPLY TO THE SIGNATORY AUTHORITY FOR ESG GRANT AGREEMENTS.

The state contractor's governing body chairman may designate other persons by completing the following:
(Name and Title)
(Name and Title)
I hereby designate the individual(s) listed immediately above as the signatory authority (authorized official) for $\underline{ESG\ Monthly\ Expenditures\ \&\ Cash\ Expenditures\ Reports.}$
(Name and Title)
(Name and Title)
I hereby designate the individual(s) listed immediately above as the signatory authority (vendor certification) for <u>ESG State Payment Vouchers.</u>
State Contractor Name:
Governing Body Signature:
Printed Name, Title, & Date:

## **Client or Applicant Appeal Process**

(Page 1 of 2)

Any substantive decision of action by a State recipient or non-profit recipient (local government or private non-profit organization) which an applicant for program services, or a program client, believes to be unfair or unreasonable, and having a major adverse impact upon the applicant/client, may be appealed by the applicant/client to the State.

It is expected that the applicant/client first utilize the local program's appeal process. If, after that process is completed and the applicant/client still believes that they want to pursue the appeal, the applicant/client may utilize the following State appeal process. Such process is as follows:

- (1) Within fifteen (15) days of the local program's decision, which is believed by the applicant/client to be unfair or unreasonable, the applicant/client believing himself or herself to be aggrieved must submit a letter to CSP, Department of Health, setting forth:
  - (a) the decision of action that is in issue;
  - (b) the date on which the applicant or client received notice of the decision of action by the local program (recipient);
  - (c) the rationale for considering the decision or action to be substantiative and unfair or unreasonable to the applicant/client; and
  - (d) the request for such a State hearing, including the applicant/client's desired outcome of such a hearing.
- (2) Within ten (10) working days of the receipt of the request for a hearing, the CSP Manager shall determine whether the complaint sets forth the facts that constitute a substantiative action by the Division which has a major adverse impact on the applicant/client.
  - (a) If the determination is that the complaint does not meet the preceding criteria, then the CSP Manager shall notify the appellant (applicant/client) within ten (10) working days of the request for hearing.
  - (b) If the determination is that the complaint does meet the appeal or hearing criteria, then the CSP Manager will identify the hearing officer, schedule the hearing date no later than thirty (30) days hence, and so notify the appellant (applicant/client).

## **Client or Applicant Appeal Process** - Page 2 of 2

- (3) Prior to the scheduled hearing, the CSP Manager will contact the appellant (applicant/client);
  - (a) to obtain additional information pertinent to the issue;
  - (b) to clarify any misunderstanding;
  - (c) to explore possible alternatives which would eliminate the necessity for a hearing; and
  - (d) to obtain a written withdrawal of the request for a hearing if the issues have been resolved.
- (4) The hearing will be conducted by the CSP Manager. The appellant (applicant/client) will have the right to be represented by council at the hearing, but must notify the CSP Manager at least ten (10) working days prior to the hearing that council will be present.
- (5) The hearing officer will review all information and evidence presented at the hearing, as well as information gathered from the program (recipient), and will recommend a decision to the CSP Manager, who will issue a written decision of the appeal within thirty (30) days of the hearing.
- (6) The decision resulting from the State hearing will be a final appellant (applicant/client) action.

The hearing will be held in Cheyenne, or at a location more convenient to the appellant (applicant/client), when financial and time constraints all, at the discretion of the CSP Manager.

## PROGRAM (RECIPIENT) APPEAL PROCESS

(Page 1 of 2)

Any substantive decision or action by a State recipient or non-profit recipient believes to be unfair or unreasonable, and having a major adverse impact on its local program may be appealed by the State recipient or non-profit recipient. The appeal process is as follows:

- (1) Within fifteen (15) days of the State's decision, which is believed to be unfair or unreasonable, the recipient believing himself to be aggrieved must submit a letter approved by their governing board and signed by the board chairperson (in the case of non-profit recipients), and in the case of local governments, a letter signed by its local elected officials, i.e., county commissioners, to CSP, Department of Health, setting forth:
  - (a) the decision or action that is in issue;
  - (b) the date on which the recipient received notice of the decision or action;
  - (c) the rationale of the board for considering the decision or action to be substantiative and unfair or unreasonable to the recipient;
  - (d) the request for such a hearing, including the desired outcome of such a hearing.
- (2) Within ten (10) working days of the receipt of the request for hearing, the CSP Manager shall determine whether the complaint sets forth the facts that constitute a substantiative action by the Division which has a major adverse impact on the recipients's program.
  - (a) If the determination is that the complaint does not meet the preceding criteria, then the CSP Manager shall notify the appellant agency within ten (10) Working days of a denial of request for hearing.
  - (b) If the determination is that the complaint does meet the appeal or hearing criteria, then the CSP Manager will identify the hearing officer, schedule the hearing date no later than thirty (30) days hence, and so notify the appellant agency.
- (3) Prior to the scheduled hearing, the CSP Manager will contact the Board chairperson of the appellant agency:
  - (a) to obtain additional information pertinent to the issue;
  - (b) to clarify any misunderstanding;
  - (c) to explore possible alternatives which would eliminate the necessity for a hearing; and
  - (d) to obtain a written withdrawal of the request for a hearing.

- (4) The hearing will be conducted by the CSP Manager. The appellant will have the right to be represented by council at the hearing, but must notify the Division Administrator at least ten (10) working days prior to the hearing that council will be present.
- (5) The hearing officer will review all information and evidence presented at the hearing and will recommend a decision to the CSP Manager, who will issue a written decision of the appeal within thirty (30) days of the hearing.
- (6) The decision resulting from the State hearing will be a final recipient action.

The hearing will be held in Cheyenne, or at a location more convenient to the appellant agency, when financial and time constraints allow, at the discretion of the CSP Manager.

# ESG (EMERGENCY SHELTER GRANTS) PROGRAM MONTHLY PERFORMANCE AND FINANCIAL REPORTING REQUIREMENTS

In a continuing effort to standardize the reporting of accomplishments that each local project achieves on a monthly and cumulative basis, the attached reporting forms have been developed and are to be utilized by each State Recipient (local government, tribal council, community action agency or farm worker organization) and each Project Recipient (nonprofit organization). Please review and maintain these reporting requirements so that each person who completes either a performance or financial report has access to this information. Additionally, each project should review their internal data gathering documents and processes to determine if the system is adequate for meeting the requirements of the State's reporting system. Those persons using the HMIS reporting forms should use the reporting categories therein, rather than the ones contained in these forms.

The due date for ESG performance and financial reports is the 10<sup>th</sup> working day of the month following the month that is being reported. Additionally, the performance and financial reports need to be reported together and sent to Community Services Programs at the same time.

The monthly reports (and all other correspondence) should be sent to the following address:

Wyoming Department of Health Rural and Frontier Health Division Community Services Programs 6101 Yellowstone Rd., Ste. 510 Cheyenne, WY 82002

Telephone: (307) 777-8652 FAX: (307) 777-8545

## **PERFORMANCE REPORTS:**

There are four (4) elements (or categories) within the performance reporting requirements that have to be reported on, as appropriate, for the activities that your project(s) will accomplish. These are:

- (1) Shelter/Lodging Assistance a 5-page report;
- (2) Essential Supportive Services Assistance a 3-page report;
- (3) Homeless Prevention Assistance a 3-page report; and
- (4) Referrals to Other Agencies & Number of Volunteer Hrs. & Dollar Value- a 1-page report.

The ESG activities that your individual project undertakes, as outlined in the ESG Grant Agreement between the State and the State Recipient, will determine which types of reports that your project will utilize. All projects will utilize report #4, concerning referrals and volunteers.

The monthly performance reports will consist of a 2-page reporting format (except the referral/volunteer hours report). The first page is for reporting the standard "demographics" data and is the same for all three types of assistance (shelter/lodging assistance, essential supportive services assistance, & homeless prevention assistance). The second page is customized for each type of assistance and is used for reporting "frequency of services" under the <a href="Shelter/Lodging">Shelter/Lodging</a> Assistance Category, and for reporting "specific services/activities" under the <a href="Essential Supportive Services Assistance Category">Essential Supportive Services Assistance Category</a> and the <a href="Homeless Prevention Assistance Categories">Homeless Prevention Assistance Categories</a>.

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report Month:	
Grantee Name:		Telephone #:
Report Prepared By:		Date:
SHELTER/LODGING ASSIST	ANCE (PAGE 1 OF 5) - Cl	LIENT DEMOGRAPHICS
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL
Males Served		
Females Served		
TOTAL Served		
# Of Individuals (a family of one)		
# Of Families		
# Of Persons in Families		
From (YOUR COUNTY)		
From Wyoming		
From Out-of-State		
White		
Black		
Hispanic		
Native American		
Asian		
Ages: 1 Day - 15 Years Old		
16 - 19 Years Old		
20 - 29 Years Old		
30 - 39 Years Old		
40 - 49 Years Old		
50 - 59 Years Old		
60 - 69 Years Old		
70 + Years Old		
Veterans		

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report Month:	
Grantee Name:		<b>Telephone #:</b>
Report Prepared By:		Date:
	NG ASSISTANCE (PAGE 2 OF SERVICES BEING US	,
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL
1 Night Shelter/Lodging		
2 - 10 Nights		
11 - 20 Nights		
21 - 30 Nights		
31 + Nights		
TOTAL Nights Shelter/Lodging		
TOTAL Meals Served		
Other (Specify):		
TOTAL		
<b>Emergency or Transitional Shelters</b> (unduplicated Count):		
Number of Adults Served		
Number of Children Served		
TOTAL		
Number of Individual Households (Unduplicated Count) (Singles):		
Unaccompanied 18 and over – Male		
Unaccompanied 18 and over – Female		
TOTAL		
Unaccompanied under 18 – Male		
Unaccompanied under 18 – Female		
TOTAL		

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report Month:	
Grantee Name:		Telephone #:
Report Prepared By:	Date:	
	NG ASSISTANCE (PAGE 3 OF SERVICES BEING US	
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL
Number of Family Households with Children Headed By (Unduplicated Count):		
Single 18 and over – Male		
Single 18 and over – Female		
TOTAL		
Unaccompanied under 18 – Male		
Unaccompanied under 18 – Female		
TOTAL		
Two Parents 18 and over		
Two Parents under 18		
TOTAL		
Number of Family Households with No Children (Unduplicated Count):		
Number of Persons for Each Subpopulation You Served (Duplicated Persons):		
Chronically Homeless (Emergency Shelter only):		
Severely Mentally Ill:		
Chronic Substance Abuse:		
Other Disability:		
Veterans:		
Persons with HIV/AIDS:		
Victims of Domestic Violence:		
Elderly:		
TOTAL		

FY Grant Period: <u>01/01 – 12/31/2</u>	<u>011</u>	Report Month:		
Grantee Name:			Telephor	ne #:
Report Prepared By:		1	Date:	
		SISTANCE (PAGE 4 C RVICES BEING USE	The state of the s	
CATEGORY		CURRENT MONT	TH Y	YEAR-TO-DATE TOTAL
Number Served in Emergency or Transitional Shelters by Shelter' Number of Persons Housed			T	101112
Barracks:				
Group/Large House:				
Scattered Site Apartment:				
Single Family Detached House:				
Single Room Occupancy:				
Mobile Home/Trailer:				
Hotel/Motel:				
Other:				
	TOTAL			
Number Served by Race (includi Residential and Non-Residential				
White:	Γotal			
White:	Hispanic			
Black/African American:	Гotal			
Black/African American:	Hispanic			
Asian:	Гotal			
Asian:	Hispanic			
American Indian/Alaskan Native	e: Total			
American Indian/Alaskan Native	e: Hispanic			
Native Hawaiian/Pacific Islander	: Total			
Native Hawaiian/Pacific Islander	: Hispanic			
	ТОТАІ			·

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report Month:			
Grantee Name:		ephone #:		
Report Prepared By:	Date	<b>:</b>		
SHELTER/LODGING ASSISTANCE (PAGE 5 OF 5) – FREQUENCY OF SERVICES BEING USED				
CATEGORY	CURRENT MONTH	YEAR-TO- DATE TOTAL		
American Indian/Alaskan Native & White: Total				
American Indian/Alaskan Native & White: Hispanic				
Asian & White: Total				
Asian & White: Hispanic				
Black/African American & White: Total				
Black/African American & White: Hispanic				
American Indian/Alaskan Native & Black African American: Total				
American Indian/Alaskan Native & Black African American: Hispanic				
Other Multi-Racial: Total				
Other Multi-Racial: Hispanic				
Non-Residential Services (Unduplicated):				
Annual Number of Adults and Children Served:				

## SHELTER/LODGING ASSISTANCE; CLIENT DEMOGRAPHICS REPORT (PAGE 1 OF 2):

The following detailed explanation of each report is offered as a guide to follow when reporting current, year-to-date, and unduplicated statistical information. The following categories must be identified, maintained, and reported on a current month, year-to-date (YTD), and unduplicated count basis.

<u>Category:</u> This represents the characteristics of your clients that you need to report.

Current Month: Data for the month of the report.

**Year-to-Date:** Data for the month of the report.

Males Served: Report the total number of males provided assistance for the current month

and YTD.

Females Served: Report the total number of females provided assistance for the current

month and YTD.

**Total Served:** Report the total number of males & females provided assistance for the

current Month and Y-T-D. This total can be used as a check as all demographic breakdowns should equal the "TOTAL Served" figure.

# of Individuals: This identifies the number of "1-person families" that have been provided

assistance.

# of Families: This identifies the number of "2 or more-persons families" that have been

provided assistance. NOTE: the "family count" should be used when the assistance that has been provided is of direct benefit to the entire family--i.e., shelter/lodging; utility assistance; homeless prevention assistance; it should not be used if the assistance is of direct benefit to the client only--i.e., medicine,

exams, etc for the client only.

# of Persons in Families: This identifies the number of persons who are included in the "# of Families"

and not in the "# of individuals (1-person family). Please refer to NOTE directly above. Families and # of persons in families should be counted only when the assistance that is provided is of benefit to the entire family. The "# of Individuals" plus the "# of Persons in Families" figures must equal the

"TOTAL Served" figure (line 3).

From (Your County): Only persons who are residing in the county in which your project operates

should be counted.

From Wyoming: Only persons who are residing in Wyoming (excluding the count under

"your county") should be counted.

From Out-of-State: Only persons from other states should be counted. The sum of "Your

County", "Wyoming", and "Out-of-State" must equal the "TOTAL Served"

(line 3).

**Race/Ethnicity:** Each person should be identified as belonging to only one of the groups

(White, Black, Hispanic, Native American, and Asian). The sum of these 5

categories must equal the "TOTAL Served" (line 3).

**Age Group:** Each person should be identified in the proper age group. The sum of these

8 age categories <u>must</u> equal the "TOTAL Served" (line 3).

<u>Veterans:</u> Each person that is a U.S. military veteran should be included here.

## SHELTER/LODGING ASSISTANCE; FREQUENCY OF SERVICES REPORT (PAGE 2 OF 2):

This report identifies the frequency of services that are being used by the clients and the number of meals that are being provided. This information should be reported on a current month and year to date (YTD) basis. The accumulative number of nights of shelter/lodging should be reported as follows:

1-Night: Report the accumulative number of clients that stayed for only 1 night for

the current month and YTD totals. Any Shelter/Lodging Assistance that is

less than 1 night should be recorded as "other".

**2 - 10 Nights:** Report the accumulative number of clients that stayed from 2 to 10 nights

for the current month and YTD totals.

11 - 20 Nights: Report the accumulative number of clients that stayed from 11 to 20 nights

for the current month and YTD totals.

21 - 30 Nights: Report the accumulative number of clients that stayed from 21 to 30 nights

for the current month and YTD totals.

31 + Nights: Report the accumulative number of clients that stayed 31 or more nights

for the current month and YTD totals. The sum of these 5 nights-stay

categories must equal the "TOTAL Served" (Page 1, line 3).

**Total Nights:** Report the total accumulative number of nights that clients stayed for the

current month and YTD totals (number of persons multiplied by the

number of nights stayed per person).

**Total Meals:** Report the total number of meals provided to clients during the current

month and YTD totals.

Other: Specify the particular type of assistance provided and the number of clients

served.

**Emergency or Transitional Shelter:** Report the total number of adults and children served on

an annual basis. (Unduplicated Count)

Number of Individual Households: Individual Households – Singles (Unduplicated Count)

Number of Family Households with Children: Family Households with Children

(Unduplicated Count)

Number of Family Households with No Children: Family Households with No Children

(Unduplicated Count)

<u>Number of Persons for Each Subpopulation You Served:</u> The number of persons served by special need category. Persons that fit more than one category should be listed in all applicable categories.

<u>Number Served in Emergency or Transitional Shelters by Shelter Type:</u> Number of Persons Housed by Facility Type.

Number Served (including Residential and Non-Residential Services): By Race.

FY Grant Period: <u>01/01 – 12/31/2011</u> Report Month:						
Grantee Name:	Telephone #:					
Report Prepared By:	Date:					
SUPPORTIVE SERVICES ASSISTANCE (PAGE 1 OF 3) - CLIENT DEMOGRAPHICS						
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL				
Males Served						
Females Served						
TOTAL Served						
# Of Individuals (a family of one)						
# Of Families						
# Of Persons in Families						
From (YOUR COUNTY)						
From Wyoming						
From Out-of-State						
White						
Black						
Hispanic						
Native American						
Asian						
Ages: 1 Day - 15 Years Old						
16 - 19 Years Old						
20 - 29 Years Old						
30 - 39 Years Old						
40 - 49 Years Old						
50 - 59 Years Old						
60 - 69 Years Old						
70 + Years Old						
Veterans						

FY Grant Period: <u>01/01 – 12/31/2011</u> Report Month:						
Grantee Name:		Telephone #:				
Report Prepared By:	I	Date:				
SUPPORTIVE SERVICES ASSISTANCE (PAGE 2 OF 3) - SERVICES/ACTIVITIES						
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL				
Health/Medical Assistance						
Employment Assistance						
Transportation Assistance						
Substance Abuse Assistance						
Nutritional Assistance						
Educational Assistance						
Child Care Assistance						
Housing Assistance						
Transitional Housing						
Permanent Housing						
Meals/Commodities Provided						
Assistance in obtaining assistance from other public/private sources						
Other (specify) Number Served by Race (including Residential and Non-Residential Services):						
White: Total						
White: Hispanic						
Black/African American: Total						
Black/African American: Hispanic						
Asian: Total						
Asian: Hispanic American Indian/Alaskan Native: Total						
American Indian/Alaskan Native: Hispanic						

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report	Month:	
Grantee Name:		Telephone	#:
Report Prepared By:		Date:	
SUPPORTIVE SERVICES ASS	SISTANCE (PA	AGE 3 OF 3) - SERVICE	S/ACTIVITIES
CATEGORY		CURRENT MONTH	YEAR-TO- DATE TOTAL
Native Hawaiian/Pacific Islander: Total			
Native Hawaiian/Pacific Islander: Hispa	anic		
American Indian/Alaskan Native & Whi	ite: Total		
American Indian/Alaskan Native & Whi	ite: Hispanic		
Asian & White:	Total		
Asian & White:	Hispanic		
Black/African American & White:	Total		
Black/African American & White:	Hispanic		
American Indian/Alaskan Native & Blac American:	Total		
American Indian/Alaskan Native & Blac American:	ck African Hispanic		
Other Multi-Racial:	Total		
Other Multi-Racial:	Hispanic		

# <u>SUPPORTIVE SERVICES ASSISTANCE; CLIENT DEMOGRAPHICS REPORT (PAGE 1 OF 2)</u>:

The following detailed explanation of each report is offered as a guide to follow when reporting current, year-to-date, and unduplicated statistical information. The following categories must be identified, maintained, and reported on a current month, year-to-date (YTD), and unduplicated count basis.

**Category:** This represents the characteristics of your clients that you need to report.

**Current Month:** Data for the month of the report.

**Year-to-Date:** Data for the month of the report.

Males Served: Report the total number of males provided assistance for the current month and

YTD.

Females Served: Report the total number of females provided assistance for the current month and

YTD.

**Total Served:** Report the total number of males & females provided assistance for the current

month and YTD. This total can be used as a check as all demographic

breakdowns should equal the "TOTAL Served" figure.

# of Individuals: This identifies the number of "1-person families" that have been provided

assistance.

# of Families: This identifies the number of "2 or more-persons families" that have been provided

assistance. NOTE: the "family count" should be used when the assistance that has been provided is of direct benefit to the entire family--i.e., shelter/lodging; utility assistance; homeless prevention assistance; it

should not be used if the assistance is of direct benefit to the client only-

-i.e., medicine, exams, etc for the client only.

# ... in Families: This identifies the number of persons who are included in the # of Families" and

not in the # of individuals (1-person family). Please refer to NOTE directly above. Families and # of persons in families should be counted only when the assistance that is provided is of benefit to the <a href="mailto:entire">entire</a> family. The # of Individuals" plus the # of Persons in Families" figures <a href="mailto:must]must</a> equal the TOTAL Served" figure (line 3).

From (Your County): Only persons who are residing in the county in which your project operates should

be counted.

From Wyoming: Only persons who are residing in Wyoming (excluding the count under your

county") should be counted.

From Out-of-State: Only persons from other states should be counted. The sum of Your County",

Wyoming", and Out-of-State" must equal the TOTAL Served" (line 3).

Race/Ethnicity: Each person should be identified as belonging to only one of the groups (White,

Black, Hispanic, Native American, and Asian). The sum of these 5 categories must

equal the TOTAL Served" (line 3).

**Age Group:** Each person should be identified in the proper age group. The sum of these 8 age

categories must equal the TOTAL Served" (line 3).

<u>Veterans:</u> Each person that is a U.S. military veteran should be included here.

## SUPPORTIVE SERVICES ASSISTANCE; SERVICES/ACTIVITIES REPORT (PAGE 2 OF 2):

The following classification must be identified, maintained, and reported on a current month and year to date (YTD) basis. The total number of persons identified as receiving the following types of assistance does not have to equal the total number of persons served as identified on the client demographics" report, since any one person may have received more than one type of assistance.

**Health/Medical Assistance:** Identify the number of persons who have received health/medical

assistance for the current month and YTD totals.

**Employment Assistance:** Identify the number of persons who have received employment

assistance for the current month and YTD totals.

**Transportation Assistance:** Identify the number of persons who have received transportation

assistance for the current month and YTD totals.

**Substance Abuse Assistance:** Identify the number of persons who have received substance

abuse assistance for the current month and YTD totals.

**Nutritional Assistance:** Identify the number of persons who have received

nutritional/food assistance for the current month and YTD totals.

**Educational Assistance:** Identify the number of persons who have received educational

assistance for the current month and YTD totals.

Child Care Assistance: Identify the number of persons who have received child care

assistance for the current month and YTD totals.

Housing Assistance: Identify the number of persons who have received housing

assistance (both transitional and permanent) for the current

month and YTD totals.

Transitional Housing: Identify the number of persons who have received transitional

housing assistance for the current month and YTD totals.

**Permanent Housing:** Identify the number of persons who have received permanent

housing assistance for the current month and YTD totals.

Meals/Commodities: Identify the number of meals and/or the pounds of commodities

provided to clients for the current month and YTD totals.

Assistance in Obtaining: Identify the number of persons who have received assistance in

obtaining other assistance from other agencies/programs for the

current month and YTD totals.

Other: Specify the particular type of assistance provided.

Number Served (including Residential and Non-Residential Services): By Race.

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report Month: _				
Grantee Name:		Telephone #:			
Report Prepared By:	Date:				
HOMELESS PREVENTION ASSISTANCE (PAGE 1 OF 3) - CLIENT DEMOGRAPHICS					
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL			
Males Served					
Females Served					
TOTAL Served					
# Of Individuals (a family of one)					
# Of Families					
# Of Persons in Families					
From (YOUR COUNTY)					
From Wyoming					
From Out-of-State					
White					
Black					
Hispanic					
Native American					
Asian					
Ages: 1 Day - 15 Years Old					
16 - 19 Years Old					
20 - 29 Years Old					
30 - 39 Years Old					
40 - 49 Years Old					
50 - 59 Years Old					
60 - 69 Years Old					
70 + Years Old					
Veterans					

FY Grant Period: <u>01/01 – 12/3</u>	1/2011	Report Month:	
Grantee Name:		Tele	ephone #:
Report Prepared By:		Date	e:
HOMELESS PREVEN	TION ASSIST	'ANCE (PAGE 2 OF 3) - SEF	RVICES/ACTIVITIES
CATEGORY		CURRENT MONTH	YEAR-TO-DATE TOTAL
Rent Assistance			
<b>Utility Assistance</b>			
Security Deposits			
1st Month's Rent			
Landlord/Tenant Mediation			
Other (specify) Number Served by Race (included) Residential and Non-Resident	_		
White:	Total		
White:	Hispanic		
Black/African American:	Total		
Black/African American:	Hispanic		
Asian:	Total		
Asian:	Hispanic		
American Indian/Alaskan Nat	tive: Total		
American Indian/Alaskan Nat Hispanic	ive:		
Native Hawaiian/Pacific Islan	der: Total		
Native Hawaiian/Pacific Island Hispanic			
American Indian/Alaskan Nat White: Total	tive &		
American Indian/Alaskan Nat White: Hispanic	ive &		
Asian & White: Total			
Asian & White: Hispanic			

FY Grant Period: <u>01/01 – 12/31/2011</u>	Report Month:	
Grantee Name:	Tel	ephone #:
Report Prepared By:	Dat	e:
HOMELESS PREVENTION ASSIST	CANCE (PAGE 3 OF 3) - SEI	RVICES/ACTIVITIES
CATEGORY	CURRENT MONTH	YEAR-TO-DATE TOTAL
Black/African American & White: Total		
Black/African American & White: Hispanic		
American Indian/Alaskan Native & Black African American: Total		
American Indian/Alaskan Native & Black African American: Hispanic		
Other Multi-Racial: Total		
Other Multi-Racial: Hispanic		

#### HOMELESS PREVENTION ASSISTANCE; CLIENT DEMOGRAPHICS REPORT (PAGE 1 OF 2)

The following detailed explanation of each report is offered as a guide to follow when reporting current, year-to-date, and unduplicated statistical information. The following categories must be identified, maintained, and reported on a current month, year-to-date (YTD), and unduplicated count basis.

**Category:** This represents the characteristics of your clients that you need to report.

**Current Month:** Data for the month of the report.

Year-to-Date: Data for the month of the report.

Males Served: Report the total number of males provided assistance for the current month and

YTD.

Females Served: Report the total number of females provided assistance for the current month and

YTD.

Total Served: Report the total number of males & females provided assistance for the current

Month and YTD. This total can be used as a check as all demographic

breakdowns should equal the "TOTAL Served" figure.

# of Individuals: This identifies the number of "1-person families" that have been provided

assistance.

# of Families: This identifies the number of "2 or more-persons families" that have been provided

assistance. NOTE: the "family count" should be used when the assistance that has been provided is of direct benefit to the entire family--i.e., shelter/lodging; utility assistance; homeless prevention assistance; it should not be used if the assistance is of direct benefit to the client only--i.e., medicine, exams, etc for the client only.

# of Persons in

Families: This identifies the number of persons who are included in the "# of Families" and

not in the "# of individuals (1-person family). Please refer to NOTE directly above. Families and # of persons in families should be counted only when the assistance that is provided is of benefit to the <a href="mailto:entire">entire</a> family. The "# of Individuals" plus the "# of Persons in Families" figures <a href="mailto:must">must</a> equal the "TOTAL Served" figure (line 3).

From (Your County): Only persons who are residing in the county in which your project operates should

be counted.

From Wyoming: Only persons who are residing in Wyoming (excluding the count under "your

county") should be counted.

From Out-of-State: Only persons from other states should be counted. The sum of "Your County",

"Wyoming", and "Out-of-State" must equal the "TOTAL Served" (line 3).

**Race/Ethnicity:** Each person should be identified as belonging to only one of the groups (White,

Black, Hispanic, Native American, and Asian). The sum of these 5 categories must

equal the "TOTAL Served" (line 3).

Age Group: Each person should be identified in the proper age group. The sum of these 8 age

categories <u>must</u> equal the "TOTAL Served" (line 3).

Veterans: Each person that is a U.S. military veteran should be included here.

## HOMELESS PREVENTION ASSISTANCE; SERVICES/ACTIVITIES (PAGE 2 OF 2):

The following classifications must be identified, maintained, and reported on a current month and Y-T-D basis. The total number of persons identified as receiving the following types of assistance does not have to equal the total number of persons served, as identified on the "client demographics" report, since any one person may have received more than one type of assistance.

**Rent Assistance:** Identify the number of persons who have received rent assistance (to avoid

eviction) for the current month and Y-T-D totals. The number of families provided assistance may be reported, but it is essential that the total number of persons in those families be reported on the monthly report.

Utility Assistance: Identify the number of persons who have received utility assistance (to

avoid utility turn-off) for the current month and Y-T-D totals. The number of families provided assistance may be reported, but it is essential that the total number of persons in those families be reported on the monthly

report.

**Security Deposits:** Identify the number of persons who have received security deposits

assistance for the current month and Y-T-D totals. The number of families may be reported, but it is essential that the total number of persons in those

families be reported on the monthly report.

1st Month's Rent: Identify the number of persons who have received 1st month's rent

assistance for the current month and Y-T-D totals. The number of families may be reported, but it is essential that the total number of persons in those

families be reported on the monthly report.

Landlord/Tenant

Mediation: Identify the number of persons who have received this type of assistance for

the current month and Y-T-D totals. The number of families may be reported, but it is essential that the total number of persons in those

families be reported on the monthly report.

Other: Specify the particular type of assistance provided.

Number Served (including Residential and Non-Residential Services): By Race.

# REFERRALS TO OTHER AGENCIES & NUMBER OF VOLUNTEER HOURS & DOLLAR VALUE:

If your project refers people to other agencies for assistance or utilizes volunteers for the project, this form is required to be completed. Agencies to which your project has referred clients should be identified.

FY Grant Period: <u>01/01 – 12/31/2</u>	<u>2011</u>	Report	t Month:		
Grantee Name:			Te	lephoi	ne #:
Report Prepared By:	Report Prepared By:				
			AGENCIES and RS & DOLLAR V	ALUF	
AGENCY/PROGRAM REFE (List Name of Agency/Prog			EENT MONTH TOTAL	3	YEAR-TO-DATE TOTAL
				<u> </u>	
				<u> </u>	
	VC	<u> DLUNTEE</u>	ER HOURS		
# HOURS – CURRENT MONTH	DOLLAR	VALUE	Y-T-D HOU	J <b>RS</b>	Y-T-D \$ VALUE

## **FINANCIAL REPORTS:**

The financial reports for the ESG Program consist of a 3-page report. The 3 pages that make up the fiscal reporting system are:

- (1) Monthly Expenditures and Cash Reconciliation Report Page 1 of 3.
- (2) <u>Certification of Eligible Activities Expenditures Report Page 2 of 3.</u>
- (3) <u>Certification of Matching Supplemental Funds Page 3 of 3.</u>

## **Monthly Expenditures and Cash Reconciliation Report:**

This report is a combined report that identifies the following:

- (1) Cost Description these items are the basic elements of cost that your project charges against the ESG Grant.
- (2) Budgeted Amount this is the amount of funds that your project has budgeted for the various cost descriptions; the budgeted amount is the amount of funds identified in your approved grant/proposal.
- (3) Current Month Expenses this represents the amount of expenses that your project has incurred against the budgeted cost descriptions for the current month.
- (4) Year-to-Date Expenses this represents the amount of expenses that your project has incurred against the budgeted cost descriptions for the program year-to-date.
- (5) Percent Expended this represents the percentage of the line-item budgeted cost description amounts that have been expended for the program year-to-date.
- (6) Year-to-Date Receipts this represents the total amount of ESG program funds received by your agency for the program year-to-date.
- (7) Cash on hand this represents the difference between the total Y-T-D expenditures and the total Y-T-D receipts. The cash on hand may be either a negative or positive number.
- (8) Projected Estimated Needs for the Next 30 Days this represents the amount of funds that your agency will need and utilize for the next 30-day period. The amount that you expect to expend for the next 30 days should be entered.

### **Certification of Eligible Activities Expenditures:**

This report identifies the current month and Y-T-D expenditures in the following eligible ESG activities.

- (1) Essential Supportive Services
- (2) Operations
- (3) Homeless Prevention
- (4) Administration (Non-staff Costs)
- (5) Administration (Staff Costs)

# ESG (EMERGENCY SHELTER GRANTS) PROGRAM

MONTHLY EPENDITURE & CASH RECONCILIATION REPORT – 1 of 3 This report is due on or before the  $19^{th}$  working day of the month for the preceding month Wyoming Department of Health, Rural & Frontier Health Div., Community Services Programs 6101 Yellowstone Rd., Ste.510 **Grant Period:** 01/01 – 12/31/2011 Cheyenne, Wyoming 82002

Fav: (307) 777-8545 Telephone: (307) 777-8652 For Month of

SIGNATURE OF AUTHORIZED OFFICIAL: \_\_\_\_\_

. ,	BUDGETED	CURRENT MONTH	YEAR-TO-DATE	%
COST CATEGORY	BUDGETED AMOUNT			EXPENDED
PERSONNEL SERVICES				
Salaries & Wages				
<b>Employer Paid Benefits</b>				
SUPPORTIVE SERVICES				
<b>Communications:</b>				
Telephone				
Postage				
Travel In-State				
Travel Out-of-State				
Supplies:				
Consumables				
Commercial Printing				
Publications				
Equipment Purchases				
Real Property Rental				
<b>Equipment Rental</b>				
GRANTS-IN-AID				
CONTRACTUAL				
SUB-TOTAL				
OTHER COSTS:				
a.				
b.				
c.				
GRAND TOTAL				
	YF	EAR-TO-DATE RECEIPTS:		
		CASH ON HAND:		
PROJECTED ESTIMA	TED CASH NEEDS	FOR THE NEXT 30 DAYS:	D(	OLLARS
AGENCY NAME & ADD			TELEPHONE #:	
NAME OF PERSON WHO		IC DEDODT.		

# STATE OF WYOMING ESG (EMERGENCY SHELTER GRANTS) PROGRAM

# Monthly Expenditures and Cash Reconciliation Report - Page 2 of 3

I certify that all of the ESG recipients FY 2011 grant funds for the month of was expended among the categories of eligible activities as listed below.

ELIGIBLE ACTIVITIES	MONTHLY EXPENSES	YEAR-TO-DATE EXPENSES
Essential Supportive Services		
Operations		
Homeless Prevention		
Administration (Non-Staff)		
Administration (Staff)		
Totals		

(Name and Title)

# STATE OF WYOMING ESG (EMERGENCY SHELTER GRANTS) PROGRAM

# **Monthly Expenditures and Cash Reconciliation Report - Page 3 of 3**

The		certifies that the matching
provided. The following is a d Matching supplemental funds	by the ESG regulations at 24 CFR 57 lescription of the sources and amount will be reported monthly along with tog, Department of Health, Community	s of such supplemental funds. the financial and performance
SOURCES AND A	MOUNTS OF MATCHING SUPPLE	MENTAL FUNDS
	<b>Current Month Amount</b>	Year-to-Date Amount
Cash Contributions:		
		W D
	<b>Current Month Amount</b>	Year-to-Date Amount
<b>In-Kind Contributions:</b>		

## **Certification of Matching Supplemental Funds:**

This report identifies the current month and Y-T-D sources and amounts of supplemental matching funds that have been provided. The certification statement and the signature and date items are required. However, the actual format of the reporting form can be formatted to your own project needs, as long as the information is provided for the current month and Y-T-D totals.

## **SUMMARY OF REPORTING SYSTEM**

The purpose of the reporting system is to provide performance and fiscal information on a current month and cumulative year-to-date basis for subgrantees, State grantees, the State, and the federal government; this system addresses these requirements.

If a project wants to attach any other type of performance or financial data that is not contained on the monthly reports, they are free to do so.

If you have any questions, please contact the Community Services Programs Office.

## EMERGENCY SHELTER GRANT REQUEST FOR FUNDING CHECKLIST

## **Narrative should include:**

Program Overview

Goals

Objectives

Strategies

Outcomes

**Activities & Services** 

Linkages & Coordination

Policies & Procedures including client participation and termination of client assistance

## **Required Certifications:**

- (A-1) Matching Funds
- (A-2) Lobbying
- (A-3) Local Program Compliance
- (A-4) Budget Summary
- (A-5) Salary & Wages Summary
- (A-6) Signature Authority Delegation

# **Wyoming Homeless Collaborative**

## Robin Mundell, Chairperson

Housing & Community Development 200 N. David Casper, WY 82601

#### Dennis L. Royal, Secretary

Community Action Partnership of Natrona County 800 Werner Ct., Suite 201 Casper, WY 82601

#### **Chad Curry**

WY Community Development Authority 155 N. Beech Casper, WY 82601

#### Teresa Garrido

COMEA House 1504 Stinson Ave. Cheyenne, WY 82002

#### **Carma Harston**

Council of Community Services 114 4-J Rd. Gillette, WY 82716

### Regina Dodson

Mental Health and Substance Abuse Wyoming Department of Health 6101 Yellowstone Rd., Ste. 220 Cheyenne, WY 82002

#### Kim Price

Volunteers of America P.O. Box 6248 Sheridan, WY 82801

#### Jim Rolf

Community Services Programs Wyoming Department of Health 6101 Yellowstone Rd., Ste. 510 Cheyenne, WY 82002

#### June Schumacher

Housing and Community Development 233 C. Street Rock Springs, WY 82901

### Pam Kozola, Vice Chairperson

Seton House P.O. Box 1557 Casper, WY 82601

#### Lisa G. Amos

Alcohol Crisis Center 223 West Adams Riverton, WY 82501

#### Linda Elmer

Fremont County Good Samaritan 917 East Washington Riverton, WY 82501

## **Greg Hancock**

Rural Community Assistance Corporation 2392 Ridgeway Court Grand Junction, CO 81503

#### Micki Jaramillo

Seton House P.O. Box 1557 Casper, WY 82602

## Larry Melka

Veteran's Administration 2360 E. Pershing Blvd. Cheyenne, WY 82002

#### Mary Randolph

Wyoming Rural Development Council 214 W. 15<sup>th</sup> Street Cheyenne, WY 82002

#### **Linda Scherr**

Council of Community Services 114 4-J Rd. Gillette, WY 82716

#### Tatyana Walker

YES House 706 Longmont Gillette, WY 82716

## **Nick Angeloff**

Volunteers of America P.O. Box 6248 Sheridan, WY 82001

## **Lisa Skiles Parady**

Rock Springs Housing Authority 233 C Street Rock Springs, WY 82901

## Lorinda O'Hashi

Second Street Station 815 S. 2<sup>nd</sup> Street Laramie, WY 82070

## **Cathie Hughes**

Southwest Wyoming Recovery Access P.O. Box 189 Green River, WY 82935

# **Arlen Taggart**

Fremont County Good Samaritan Center P.O. Box 1184 Riverton, WY 82501 Definitions (Page 1 of 3)

The following definitions apply to the ESG and will be used by the grantee and its State recipients accordingly:

Conversion means a change in the use of a building to an emergency shelter for the homeless, where the cost of conversion and any rehabilitation costs exceed 75% of the value of the building before conversion. If such costs do not exceed 75% of the value of the building before conversion, they are to be considered rehabilitation and the three-year use requirement under Section 576.73 of the ESG regulations applies. The conversion of any building to an emergency shelter that is assisted must meet local government safety and sanitation standards under Section 576.75 of the ESG regulations. For projects of 15 or more units where rehabilitation costs are 75% or more of the replacement cost of the building, that project just meet the requirements of 24 CFR 8.23(a).

<u>Emergency Shelter</u> means any facility, the primary purpose of which is to provide temporary or transitional shelter for the homeless in general or for specific populations of the homeless.

<u>Essential services</u> include services concerned with employment, health, drug abuse, and education, and may include (but are not limited to):

- (a) assistance in obtaining permanent housing;
- (b) medical and psychological counseling and supervision;
- (c) employment counseling;
- (d) nutritional counseling;
- (e) substance abuse treatment and counseling;
- (f) assistance in obtaining other federal, state, and local assistance including: mental health benefits, employment counseling, medical assistance, Veteran's benefits, and income support assistance such as Supplemental Security Income benefits, Aid to Families with Dependent Children, general assistance, and food stamps;
- (g) other services, such as child care, transportation, job placement, and job training; and
- (h) staff salaries necessary to provide the above services.

<u>Grantee</u> means the entity that executes a grant agreement with U.S. HUD under the Steward B. McKinney Act. For the State of Wyoming's purposes, this means the State of Wyoming, Department of Health, CSP.

# <u>Homeless</u> means:

- (a) an individual or family which lacks a fixed, regular, and adequate nighttime residence; or
- (b) an individual or family which has a nighttime residence that is:
  - a supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for persons with mental illness);

Definitions (Page 2 of 3)

(2) an institution that provides a temporary residence for individuals intended to be institutionalized; or

(3) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for people.

NOTE: the term "homeless" does not include any individual imprisoned or otherwise detained pursuant to an Act of Congress or a State law.

<u>Homeless prevention</u> means activities or programs designed to prevent the incidence of homelessness, including (but not limited to);

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

<u>HUD</u> means the U.S. Department of Housing and Urban Development.

<u>Major rehabilitation</u> means rehabilitation that involves costs in excess of 75% of the value of the building before rehabilitation. Major rehabilitation assistance must meet local government safety and sanitation standards under Section 576.75 of the ESG regulations. In addition, for projects of 15 or more units where rehabilitation costs are 75% or more of the replacement cost of the building, the requirements of 24 CFR 8.23(a) must be met.

<u>Non-profit recipient</u> means any private non-profit organization providing assistance to the homeless, to which a State or unit of general local government distributes emergency shelter grant amounts.

<u>Obligated</u> means that the grantee or State recipient, as appropriate, has placed orders, awarded Grant Agreements, received services, or entered similar transactions that require payment from the grant amount. Grant amounts that a unit of general local government or State awards to a private non-profit organization, by a written agreement or letter of award requiring payment from the grant amount, are obligated.

<u>Private non-profit organization</u> means a secular or religious organization described in Section 501(c) of the Internal Revenue Code of 1988, which:

- (a) is exempt from taxation under Subtitle A of the Code;
- (b) has an accounting system and a voluntary board; and
- (c) practices non-discrimination in the provision of assistance.

Definitions (Page 3 of 3)

<u>Rehabilitation</u> means labor, materials, tools, and other costs of improving buildings, including repair directed toward an accumulation of deferred maintenance; replacement of principle fixtures and components of existing buildings; installation of security devices; and improvement through alterations or incidental additions to, or enhancement of, existing buildings, including improvements to increase the efficient use of energy in buildings, and structural changes necessary to make the structure accessible for persons with physical handicaps.

Rehabilitation also includes the conversion of a building to an emergency shelter for the homeless, where the cost of conversion and any rehabilitation costs does not exceed 75% of the value of the building before conversion. Rehabilitation assistance must meet local government safety and sanitation standards under Section 576.75 of the ESG regulations. In addition, for projects of 15 or more units where rehabilitation costs are 75% or more of the replacement cost of the building, that project must meet the accessibility requirements of Section 504 of the Rehabilitation Act of 1973, as amended, as set forth in 24 CFR 8.23(a); or where rehabilitation costs are less than 75% of the replacement cost of the building, that project must meet the requirements of 24 CFR 8.23(b).

<u>State recipient</u> means any unit of general local government or non-profit organization to which the State makes available ESG amounts.

<u>Units of general local government</u> means any city, county, town, township, parish, village, or other general purpose political subdivision of the State. For the State of Wyoming's purposes, this also includes Indian Business Councils.

<u>Value of the building</u> means the monetary value assigned to a building by an independent real estate appraiser, or otherwise reasonably established by the grantee or the State recipient.

#### **State ESG Certifications**

The State seeking funds under the Emergency Shelter Program (ESG) certifies that it will ensure that its recipients of ESG funds comply with the following requirements:

**Major rehabilitation/conversion** - In the case of major rehabilitation or conversion, it will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 10 years. If the rehabilitation is not major, the recipient will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 3 years.

**Essential Services** - Where the assistance involves essential services or maintenance, operation, insurance, utilities and furnishings, it will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure as long as the same general population is served.

**Renovation** - Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

**Supportive Services** - It will assist homeless individuals in obtaining appropriate supportive services, including permanent housing, medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living, and other Federal, State, local, and private assistance for such individuals.

**Matching Funds** - It will obtain matching amounts required under 24 CFR §576.71.

**Confidentiality** - It will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project except with the written authorization of the person responsible for the operation of that shelter.

**Homeless Persons Involvement** - To the maximum extent practicable, it will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under this program, in providing services assisted through this program, and in providing services for occupants of such facilities.

**Consolidated Plan** - It is following a current HUD-approved Consolidated Plan or CHAS.

Signature/Authorized Official	Date
Community Services Programs Manager Title	

#### **State Consolidated Plan Certifications**

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the State certifies that:

**Affirmatively Further Fair Housing -** The State will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the state, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan - It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential anti-displacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

**Drug Free Workplace -** It will or will continue to provide a drug-free workplace by:

- 1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- 2. Establishing an ongoing drug-free awareness program to inform employees about
  - a. The dangers of drug abuse in the workplace;
  - b. The grantee's policy of maintaining a drug-free workplace;
  - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- 3. Making it a requirement that each employee be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
- 4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -
  - (a) Abide by the terms of the statement; and
  - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- 5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- 6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted -
  - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- 7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5, and 6.

**Anti-Lobbying -** To the best of the State's knowledge and belief:

- 1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of nay agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
- 2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- 3. It will require that the language of paragraphs 1 and 2 of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and Grant Agreements under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**Authority of State -** The submission of the consolidated plan is authorized under State law and the State possesses the legal authority to carry out the programs under the consolidated plan for which it is seeking funding, in accordance with applicable HUD regulations.

**Consistency with plan -** The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

**Section 3 -** It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Signature/Authorized Official	Date	
Community Services Programs Manager Title		

#### APPENDIX TO CERTIFICATIONS

# INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

## **Lobbying Certification**

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

## **Drug-Free Workplace Certification**

- 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
- 2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- 3. For grantees other than individuals, Alternate I applies. (This is the information to which jurisdictions certify).
- 4. For grantees who are individuals, Alternate II applies. (Not applicable jurisdictions.)
- 5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
- 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- 8. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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Check \_\_\_\_ If there are workplaces on file that are not identified here; The certification with regard to the drug-free workplace required by 24 CFR part 24, subpart F.

9. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules;

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 2.s.c. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (I) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplace.

