

**CITY OF  
SCRANTON**

Lackawanna County, Pennsylvania



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**EMERGENCY SHELTER GRANT  
(ESG)  
APPLICATION FOR FUNDING**

**COMPLETED APPLICATIONS ARE DUE AUGUST 11, 2006**

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**CHRISTOPHER A DOHERTY  
MAYOR**

**SARA HAILSTONE  
EXECUTIVE DIRECTOR  
OECD**

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
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APPLICATION FOR EMERGENCY SHELTER GRANTS (ESG)  
 PROGRAM YEAR THIRTY-THIRD (33): JANUARY 1, 2007 – DECEMBER 31, 2007

**PROJECT SUMMARY FORM**

<b>Applicant Name</b>		<b>Date</b>	
<b>Applicant Address</b>			
<b>Contact Person/ Title</b>			
<b>E-Mail Address</b>			
<b>Telephone</b>		<b>Fax</b>	

<b>Project Name</b>		<b>Priority (for multiple applications)</b>	
<b>Project Location/Address</b>			
<b>Brief Project Description</b>			

<b>Anticipated Outcome/Benefit</b>		
<b>Amount of ESG Funds Requested</b>	\$ _____	<b>FOR OECD USE ONLY</b> Date Received: _____ Reviewed by: _____
<b>Amount of Other Funds</b>	\$ _____	
<b>Total Project Cost</b>	\$ _____	

Please be advised that failure to demonstrate substantial progress related to the activity for which you are making application within two years of the date of award may result in cancellation of the activity and reversion of the funds back to the ESG program.

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
**2007 EMERGENCY SHELTER GRANTS PROGRAM**

**NONPROFIT CORPORATION ATTACHMENT**

**A. Organization Information**

Please prepare a written narrative and attach any required documents in order to fully address the following areas of interest:

➤ Background

Include the length of time the organization has been in operation, the date of incorporation, the purpose of the organization, and the type of corporation. Describe the type of services provided, the organization's capabilities, the number and characteristics of clients served, and license to operate (if appropriate).

➤ Personnel

Briefly describe the organization's existing staff positions and qualifications, and state whether or not the organization has a personnel policy manual with an affirmative action plan and grievance procedure.

➤ Financial

Describe the organization's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the organization's fiscal management including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

➤ Audit Requirements

In accordance with the Office of Management and Budget Circulars A-133, A-128, and A-110, **non-profit organizations that expend \$500,000 of federal funds or more in a year shall engage an independent certified public accountant to perform a single or program-specific audit for that year.** It is your responsibility to determine whether you are required to have such an audit performed and to engage a qualified practitioner to perform the engagement. If you have questions about how your organization might be affected by these federal audit requirements, please contact our office to speak with our Director of Finance or contact your accountant.

➤ Insurance/Bond/Worker's Compensation

State whether or not the organization has liability insurance coverage, in what amount, and with what insuring organization. State whether or not the organization pays all payroll taxes and worker's compensation as required by Federal and State Law. State whether or not the organization has fidelity bond coverage for principal staff who handle the organization's accounts, in what amount, and with what insuring organization.

➤ Additional Information

Include any other information that would aid our understanding of the organization and its capacity to carry out projects.

## B. Organizational Documents

Please submit the following documents:

- Articles of Incorporation/Bylaws  
These are the documents recognized by the State as formally establishing a private corporation, business or organization.
- Non-Profit Determination  
Nonprofit determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board.
- List of the Board of Directors or Other Governing Body  
This list must include the name, telephone number, address, occupation or affiliation of each member and must identify the principal officers.
- Authorization to Request Funds  
Authorization from the governing body of the organization to submit the funding request. This consists of a copy of the minutes of the meeting in which the governing body's resolution, motion or other official action is recorded.
- List of Authorized Representative(s)  
Documentation of the governing body's action authorizing the representative(s) of the organization to negotiate for and contractually bind the organization. Documentation consists of a signed letter from the Chairperson of the governing body providing the name, title, address and telephone number of each authorized individual.
- Organizational Chart  
An organizational chart must be provided which describes the organization's administrative framework and staff positions, which indicates where the proposed project(s) will fit into the organizational structure, and which identifies any staff positions of shared responsibility.
- Conflict of Interest Statement  
Section 5.D. (pages 4-5) of the **Core Application** contains excerpted Conflict of Interest Statements from the Code of Federal Regulations at 24 CFR 570.611(b). The applicant must review each statement and acknowledge acceptance by signing and dating in the space provided.
- Resume of Chief Program Administrator and Chief Fiscal Officer
- Financial Statements for the most recent fiscal year ended and Independent Auditor's Report (if your organization does not have an audit performed, please provide an Accountant's Review or Compilation Report or internally prepared financial statements)

**C. Content Certification**

I do hereby certify that the information contained in this attachment is complete and accurate. I do also certify that if the information contained herein should change while a contract is in effect between the City of Scranton Office of Economic and Community Development ("OECD") and the above named organization, I will notify OECD of such change and await their written response before proceeding with the project.

\_\_\_\_\_  
Authorized Representative's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (please print)

\_\_\_\_\_  
Title

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
**2007 EMERGENCY SHELTER GRANTS PROGRAM**

**CORE APPLICATION**

**Section 1 Statement of Project Eligibility**

On a separate sheet describe how the proposed project is an ESG eligible activity as required in Section 3 of the **Application Instructions**. The statement of eligibility narrative must address the following in sufficient detail:

**a. Project Description and Location**

Provide a detailed project description, including the types of services performed, the primary service area.

**b. Applicable measurement of project scope (e.g. persons served)**

Estimate the number of individuals and families to be provided shelter, homeless support services and homelessness prevention assistance during the period January 1, 2007 - December 31, 2007. Describe the population expected to be primarily served, e.g. families facing eviction, single homeless men, abused women and their children, single parent households, etc.

**c. Need Identification**

Describe the need for the services that the funding contemplated by this application will provide. Note local factors and trends, such as economic factors, that affect the level of homelessness in the service area. Emphasize any trends over the past year in the numbers or types of homeless and near homeless persons served. Document these factors and trends by citing statistics and indicate the source for the statistics. (Examples of documentation might include the average number of persons turned away from area shelters in a specified period, local unemployment rate, length of Section 8 waiting list, rental eviction rate in the jurisdiction, number of non-residential veterans service facilities in the area, rate of domestic violence incidences, etc.).

**d. Anticipated Outcome/Benefit**

Describe how the proposed project will address the identified needs.

**Section 2 Project Funding**

Identify the amount of ESG requested along with the source, amount and status of any other funding that will be used to carry out the proposed activity. Attach a copy of the commitment letter from secured funding sources; attach a copy of any pending requests for funding and submit a schedule for securing the identified funds.

Source	Amount	Secured	Pending
ESG			
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
<b>Total Funding</b>			

## Section 3 Certifications

### A. Equal Opportunity/Accessibility

1. Does the applicant have written employment and personnel policies and practices, including equal opportunity guidelines?  yes  no
2. If no, use the space below to briefly explain.

1. Is the proposed facility or program accessible to persons with disabilities?  yes  no
2. If no, is the proposed activity designed to make the program/facility fully accessible?  yes  no
3. If no, use the space below to briefly please explain how handicapped clients/users are, or will be accommodated:



**Section 3 Certifications (Continued)**

**B. Application Content Certification (required from all applicants)**

I do hereby certify that the information contained in this application for 2007 Community Development Block Grant Funds is complete and accurate. I do also certify that if the information contained herein should change at any time, I will notify the Office of Economic and Community Development of such change and await their written response before proceeding with the project.

\_\_\_\_\_  
Authorized Representative's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (please print)

\_\_\_\_\_  
Title

**C. Conflict of Interest**

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

1. Is/are any member of your staff or governing body, who is currently, or has been within one year of the date of this application, a City of Scranton employee or a member of a City of Scranton Board or Commission that has a direct influence on the allocation of ESG funding? Yes \_\_\_\_ No \_\_\_\_

If yes, please list the following:

<u>Name</u>	<u>Position/Title</u>	<u>City Dept./Board/Commission</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Section 3 Certifications (Continued)**

2. Will the ESG funds requested by the applicant be used to pay the salaries of any of the applicant's staff persons who are currently, or who have been within one year of the date of this application, employed by the City of Scranton? Yes \_\_\_\_ No \_\_\_\_

If yes, please list the following:

<u>Name</u>	<u>Position/Title</u>	<u>City Dept.</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. Will the ESG funds requested by the applicant be used to pay the salaries of any of the applicant's staff persons who are currently, or who have been within one year of the date of this application, a member of a City of Scranton Board or Commission that has a direct influence on the allocation of ESG funding? Yes \_\_\_\_ No \_\_\_\_

If yes, please list the following:

<u>Name</u>	<u>Position/Title</u>	<u>City Board/Commission</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. Will the ESG funds requested by the applicant be used to award a contract or subcontract to any individual(s) or business affiliate(s) who is/are currently, or who has/have been within one year of the date of this application, an employee of the City of Scranton or a member of a City of Scranton Board or Commission that has a direct influence on the allocation of ESG funding? Yes \_\_\_\_ No \_\_\_\_

If yes, please list the name(s):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

**Section 3 Certifications (Continued)**

I understand and agree to abide by the principles embodied in the Conflict of Interest section above.

\_\_\_\_\_  
Authorized Representative's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (please print)

\_\_\_\_\_  
Title

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
**2007 EMERGENCY SHELTER GRANTS PROGRAM**

**APPLICATION INSTRUCTIONS**

**Section 1 General Information**

The Emergency Shelter Grants (ESG) Program provides funds to prevent homelessness and to help improve the quality of existing emergency and transitional shelters for the homeless. It is also designed to help make available additional shelters and to help meet the costs of operating such shelters and of providing certain essential social services to homeless individuals. The assistance is designed to assure that homeless persons and those at risk of homelessness have access not only to safe and sanitary shelter, but also to the supportive services needed to improve their situations.

As in previous years, the funding process will be extremely competitive. **Each applicant may submit no more than two (2) funding requests.** Applications will first be reviewed and evaluated to determine if they meet program threshold requirements. Applications meeting the threshold will further be evaluated for feasibility and presented to County Council.

In order for an application to be considered complete, proposals must include:

- Project Summary Form
- Core Application: All applicants must complete this section, which covers general project information.
- Nonprofit Corporation Attachment: This attachment must be completed by all nonprofit organizations submitting funding requests.

**Please submit three (3) copies of your complete application package to the Office of Economic and Community Development, to the attention of Ms. Liza Skelton, Project Coordinator by August 11, 2006 in order to be considered for funding.**

**Section 2 Project Evaluation Criteria**

Proposals will be reviewed based on the following:

**A. Threshold Requirements**

All proposed projects must meet the following criteria to be considered for funding:

1. Fully Completed Application: All sections of the application pertinent to the proposal must be completed in full. No partial proposals will be accepted. If you require assistance in completing this application, please contact our office to schedule an appointment with one of our ESG program administrators.
2. Statement of Project Eligibility: The project must be an eligible activity as outlined in Section 3 of the Application Instructions.

## Section 2 Project Evaluation Criteria (Continued)

### B. Project Feasibility

Projects meeting the threshold requirements will be evaluated against the set of selection criteria listed below.

1. Project Need and Public Benefit

- The extent to which the proposal demonstrates a comprehensive approach and coordinated effort toward addressing the identified need.
- The extent to which the proposal is designed to benefit homeless persons or persons at risk of homelessness within the City of Scranton.

2. Leveraging of Resources

- The extent to which the project leverages alternative funding and maximizes ESG program funding.

3. Applicant Capacity

The applicant demonstrates the ability and identifies the resources necessary to implement the project in a timely manner.

- Applicants that have received previous ESG funding will be evaluated on past program performance.

## Section 3 Statement of Project Eligibility

### A. Eligible ESG Activities

Each proposed activity must be authorized by Program Regulations (Refer to 24 CFR Part 576 Subpart B - Eligible Activities 576.21(a)). Please review the category(s) that best describes your proposed project activity. You will be asked to demonstrate an activity's eligibility in Section 1 of the **Core Application**.

- **Payment of maintenance and operations costs.** Examples of eligible costs include rent, repair, fuels, insurance, utilities, equipment and staffing costs for custodial and security services.
- **Provision of essential services (direct client services) to the homeless.** Grant amounts provided may be used to provide an essential service only if the service is a quantifiable increase in the level of a service above that which has been provided with local funds during the 12 months immediately before it received initial ESG funds. Not more than 30 percent of OECD's total ESG allocation may be used for these services.
- **Developing and implementing homeless prevention activities.** Not more than 30 percent of OECD's total ESG allocation may be used for these services. Applicants are strongly encouraged to include funding for homeless prevention in their total applications because preventing homelessness is more cost effective and less disruptive to families than providing shelter space.

If your planned homeless prevention activities include the use of funds to provide financial assistance to families that have received notification of impending eviction or termination of utility services or mortgage foreclosure, you must follow these statutory criteria:

- a. The inability of the family to make the required payments shall be due to a sudden reduction in income;
- b. The assistance shall be necessary to avoid eviction of the family or termination of services to the family. Examples of acceptable documentation are an eviction notice, a landlord's written affidavit of intent to evict, a utility cutoff notice, a foreclosure notice.

### Section 3 Statement of Project Eligibility (Continued)

- c. There shall be a reasonable prospect that the family will be able to resume payments within a reasonable period of time (e.g., 30 days); and
  - d. The assistance shall not supplant funding for preexisting homeless prevention activities from another source.
- Payment of staff costs involved with operations related to emergency shelter (excluding staff costs for providers of essential services/case managers or salaries eligible under maintenance and operations). Not more than ten percent of the aggregate amount of each ESG subgrant to a may be used for these costs.
  - When ESG funds are proposed for use in the renovation, major rehabilitation or conversion of buildings for use as emergency shelters, documentation shall be provided to show that no other funding source is available. The applicant must also demonstrate that the project can be completed in an expeditious manner, as time limits for expenditure of the grant funds often inhibit major rehabilitation or conversion efforts.

#### B. Ineligible Activities

The following activities are generally ineligible for ESG assistance (Refer to 24 CFR Part 576 Subpart B - Eligible Activities 576.21):

- Acquisition or construction of an emergency shelter for the homeless;
- Staffing costs exceeding 10 percent of the grant amount, other than for case management or maintenance and security staff; and
- Rehabilitation services performed by the staff of a grantee or recipient, such as preparation of work specifications, loan processing or inspections.