

APPENDIX 1

A PDF version of the Application and an Excel version of the Cost Summary page are available on http://www.dss.mo.gov/pr_family.htm by clicking on the link for Emergency Shelter Grant Program.

To learn more about the federal laws, regulations, and program procedures that apply to the Emergency Shelter Grant (ESG) Program, please review the ESG Program Desk Guide at:

<http://hudhre.info/index.cfm?do=viewEsgDeskguide>.

Outcome Performance Measurement System for Community Planning and Development Formula Grant Program

On March 7, 2006, the Department of Housing and Urban Development's (HUD) Community Planning and Development (CPD) office published (FR-497-N-02) a final notice to discuss and address comments, incorporate appropriate changes, and officially establish the outcome performance system. You may learn more about outcome performance system by visiting the HUD website at:

<http://www.hud.gov/offices/cpd/about/performance/index.cfm>.

The outcome performance system enables HUD to collect information on the outcomes of activities funded with CPD formula grant assistance and to aggregate that information at the national and local level. This performance measurement system has been incorporated into HUD's Integrated Disbursement and Information System (IDIS), thus allowing for simplified data collection. In order for the State to provide the requested data to HUD, it is necessary to adjust data collection procedures. The significant change of note was the requirement to report actual numbers of clients served using ESG funds rather than the previous requirement allowing averages and percentages. The annual survey of proposed and actual beneficiaries has been streamlined and revised to reflect this change. The reporting requirements also include identification of applicants as either a public agency, faith based non-profit, or other non-profit.

Homeless Management Information System (HMIS) and Data Collection Survey

HUD requires Emergency Shelter Grant (ESG) applicants to enroll in the Homeless Management Information System (HMIS) in order to be eligible to receive ESG funds. HMIS is an on-line database system that serves agencies providing shelter, housing, and services to homeless people and to those at risk of becoming homeless. In Missouri, there are 8 metropolitan Continuum of Care Regions (entitlement areas) and a State Continuum of Care to cover the balance of the non-metropolitan state's remaining 99 non-entitlement counties. The State Continuum of Care utilizes the **Homeless Missourians Information System (HMIS)**. [The Homeless Missourians Information](#)

System includes a report that will provide all data necessary for the ESG Data Collections Survey. Please consult the website below for more information:

<http://www.masw.org/HMIS/index.php>

Homeless Persons Involved in Policymaking and Operations

Recipients of ESG funds (except for States) are required by law to provide for the participation of at least one homeless or formerly homeless person(s) in a policymaking function within the organization. This might include, for example, involvement of a homeless or formerly homeless person on the Board of Directors or similar entity that considers and sets policy or makes decisions for the recipient agency. Specifically, **Participation of Homeless Individuals** 42 U.S.C. 11375 (d) states:

The Secretary shall, by regulation, require each recipient that is not a State to provide for the participation of not less than 1 homeless individual or former homeless individual on the board of directors or other equivalent policymaking entity of such recipient, to the extent that such entity considers and makes policies and decisions regarding any facility services, or other assistance of the recipient assisted under this part. The Secretary may grant waivers to recipients unable to meet the requirement under the preceding sentence if the recipient agrees to otherwise consult with homeless or formerly homeless individuals in considering and making such policies and decisions.

Additionally, all recipients (State, territory, local government or nonprofit organization) are required to involve participants in the *operation* of the ESG-funded program. This involvement includes the participants' employment or volunteering in the project activities such as construction, renovation, maintenance, general operation of facilities, or provision of services. For example, a shelter might involve participants in ongoing maintenance tasks or other operations of the facility such as staffing the reception desk. This involvement can include paid and/or volunteer work. Specifically, **Certifications on Use of Assistance** 42 U.S.C. 11375 (c) (7) states:

Each recipient shall certify to the Secretary that...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 part, in providing services assisted under this part, and in providing services for occupants of facilities assisted under this part.

Homeless Prevention Activities: Eligible Activities

The legislation and the regulations specify a broad array of financial assistance and supportive services that may be provided to help prevent persons from becoming homeless. Specifically, **Eligible Activities** 42 U.S.C. 11374 (a) states:

- (4) Efforts to prevent homelessness such as financial assistance to families who have received eviction notices or notices of termination of utility services if –
 - (A) the inability of the family to make the required payments is due to a sudden reduction in income;
 - (B) the assistance is necessary to avoid the eviction or termination of services;
 - (C) there is reasonable prospect that the family will be able to resume payments within a reasonable period of time; and
 - (D) the assistance will not supplant funding for preexisting homelessness prevention activities from other sources.

Not more than 30 percent of the aggregate amount of all assistance to a State or local government under this subtitle may be used for activities under this paragraph.

Furthermore, **Definitions** 24 CFR 576.3 states:

Homeless prevention means activities or programs designed to prevent the incidence of homelessness, including (but not limited to):

- (1) Short-term subsidies to defray rent and utility arrearages for families that have received eviction or utility termination notices;
- (2) Security deposits or first month's rent to permit a homeless family to move into its own apartment;
- (3) Mediation programs for landlord-tenant disputes;
- (4) Legal services programs for the representation of indigent tenants in eviction proceedings;
- (5) Payments to prevent foreclosure on a home; and
- (6) Other innovative programs and activities designed to prevent the incidence of homelessness.

Documentation of Homelessness

Documentation of participants' homelessness is an equally important aspect of ESG project management. ESG recipients are required to maintain adequate documentation of homelessness status to determine the eligibility of persons served by HUD's homeless assistance programs. The documentation is typically obtained from the participant or a third party at the time of referral, entry, intake, or orientation to the ESG-funded project. A copy of the documentation should be maintained in the client file.

HUD defines homelessness as: A homeless person is someone who is living on the street or in an emergency shelter or who would be living on the street or in an emergency shelter without HUD's homelessness assistance. A person is considered homeless only when he/she resides in one of the places described below:

- In places not meant for human habitation such as cars, parks, sidewalks, abandoned buildings, on the street;
- In an emergency shelter;
- In transitional or supportive housing for homeless persons who *originally* came for the streets or emergency shelters;
- In any of the above places but is spending a short time (up to 30 consecutive days) in a hospital or other institution;
- Is being evicted within a week from a private dwelling unit **and** no subsequent residence has been identified **and** the person lacks the resources and support networks needed to obtain housing **or** their housing has been condemned by housing officials and is no longer considered meant for human habitation;
- Is being discharged within a week from an institution in which the person has been a resident for more than 30 consecutive days and no subsequent residence has been identified **and** the person lacks the resources and support networks needed to obtain housing; or
- Is fleeing a domestic violence housing situation and no subsequent residence has been identified **and** the person lacks the resources and support networks needed to obtain housing.

As described above, HUD encourages ESG-funded recipients to maintain adequate documentation to determine the eligibility of persons served by HUD’s homeless assistance programs. Below is a guide, which provides recommendations on documentation of homelessness.

The degree of documentation of homelessness depends on the type of short- or long-term shelter provided. Projects providing strictly short-term emergency shelter or support services need a lower standard of proof of the person’s prior living situation.

Short-Term Emergency Shelter/Services

Situation	Documentation
Persons living on the street	Projects may provide short-term shelter and/or services – such as outreach, food, health care, and clothing – to persons who reside on the streets or who are otherwise homeless. In these cases, it is not feasible to require documentation for each person obtaining such services offered by the project. It is sufficient for the grantee/recipient staff to confirm that the persons served, indeed, reside on the street or are otherwise homeless.

Long-Term Emergency Shelter/Transitional Housing

Situation	Documentation
Persons living on the street or in short-term emergency shelter	Information should be obtained to indicate that the participant is living on the street or in short-term emergency shelter. This may include names of organizations or outreach workers who have assisted them in the past, whether the client receives any general assistance checks and where the checks are delivered, or any other information regarding the participant's activities in the recent past that might provide documentation. If unable to verify that the person is living on the street or in short-term emergency shelter, the participant or a staff person may prepare a short written statement about the participant's previous living place. The participant should sign the statement and date it.
Persons being evicted from a private dwelling	<p>Obtain evidence of formal eviction notice indicating that the participant was being evicted within a week before receiving homeless assistance. Also obtain information on the participant's income and efforts made to obtain housing and why, without the homeless assistance, the participant would be living on the street or in an emergency shelter.</p> <p>If the participant's family is evicting, a statement describing the reason for eviction must be signed by the family member and dated. In other cases where there is no formal eviction process, persons are considered evicted when they are forced out of the dwelling unit by circumstances beyond their control. In those instances, obtain a signed and dated statement from the participant describing the situation. The grantee/recipient must make efforts to confirm that these circumstances are true and have written verification describing the efforts and attesting to their validity. The verification should be signed and dated.</p>
Persons from a short-term stay (up to 30 consecutive days) in an institution who previously resided on the street or in an emergency shelter	Obtain written verification from the institution's staff that the participant has been residing in the institution for less than 31 days and information on the previous living situation. See above for guidance.
Persons being discharged from a longer stay in an institution	Obtain evidence from the institution's staff that the participant was being discharged within the week before receiving homeless assistance. Obtain information on the income of the participant, what efforts were made to obtain housing and why, without the homeless assistance, the participant would be living on the street or in an emergency shelter.

Persons fleeing domestic violence	Obtain written verification from the participant that he/she is fleeing a domestic violence situation. If a participant is unable to prepare verification, the grantee/recipient may prepare a written statement about the participant's previous living situation for the participant to sign and date.
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Essential Services

ESG funds can be used to provide essential services to address the needs of homeless persons living on the street, in emergency shelter or in transitional housing. Essential services can address the immediate needs of the homeless and can help homeless persons become more independent and to secure permanent housing. Specifically, **Eligible Activities** 42 U.S.C. 11374 states:

- (a) In General, Assistance provided under this subtitle may be used for the following activities relating to emergency shelter for homeless individuals:
 - (2) The provision of essential services, including services concerned with employment, health, drug abuse, or education.

Additionally, **Essential Services** 24 CFR 576.3 states:

Essential services includes services concerned with employment, health, drug abuse, and education and may include (but not be limited to):

- (1) Assistance in obtaining permanent housing;
- (2) Medical and psychological counseling and supervision;
- (3) Employment counseling;
- (4) Nutritional counseling;
- (5) Substance abuse treatment and counseling
- (6) 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 (now Temporary Assistance to Needy Families), General Assistance, and Food Stamps;
- (7) Other services such as child care, transportation, job placement, and job training; and
- (8) Staff salaries necessary to provide the above services.

Rent provided to homeless individuals or families moving from a shelter or the street to permanent housing should be categorized as essential services, not prevention.