



*Prince William County
Office of Housing &
Community Development*

EMERGENCY SHELTER GRANT

Operating Manual Effective July 1, 2006

*Prince William County Office of Housing and Community Development
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I. GENERAL INFORMATION

BACKGROUND

The Emergency Shelter Grant (ESG) program is designed to be the first step in a continuum of assistance to prevent homelessness and to enable homeless individuals and families to move towards independent living.

The ESG program was originally established by the Homeless Housing Act of 1986, in response to the growing issue of homelessness among men, women, and children in the United States. In 1987 the ESG program was incorporated into subtitle B of title IV of the Stewart B. McKinney-Vento Homeless Assistance Act (42 U.S.C. 11371-11378).

ESG is a formula-funded program that uses the Community Development Block Grant (CDBG) formula as the basis for allocating funds to eligible jurisdictions, including States, territories, and qualified metropolitan cities and urban counties:

The Emergency Shelter Grants program is one of four homeless assistance programs operated by the Department of Housing and Urban Development's Office of Special Needs Assistance Programs. The other three are the Supportive Housing Program (SHP), Shelter Plus Care (SPC) program and the Section 8 Single Room Occupancy (SRO) program. Descriptions of all of these programs can be found on HUD's web site at www.hud.gov/cpd/homeless.html.

GOAL

The goal of the ESG is to assist homeless families and individuals by providing shelter and services at emergency and transitional housing facilities in the Prince William Area.

OBJECTIVES

The objective of the ESG is to increase the number and quality of emergency shelters and transitional housing facilities for homeless individuals and families, to operate these facilities and provide essential social services, and to help prevent homelessness. Funding to emergency shelters and transitional housing facilities is based on the number of eligible beds available to serve the homeless to be used for operations, maintenance costs, supportive services, and staff costs (salaries may **not exceed ten (10) percent** of the subrecipient's award).

ESG ACTIVITIES

Shelters and other service providers use ESG funding for five main categories of eligible activities:

Eligible ESG Activities

1. Renovation, rehabilitation, and conversion of buildings for use as emergency shelters or transitional housing for the homeless;
2. Essential services;
3. Operating costs such as maintenance, insurance, rent, etc.
4. Homeless prevention; and
5. Administration.

ESG AND THE CONTINUUM OF CARE

The ESG program is designed as the *first step* in a continuum of assistance to prevent homelessness and to enable the homeless population to move steadily toward independent living. The Continuum of Care model is based on the understanding that homelessness is not caused by simply a lack of shelter, but involves a variety of underlying needs. HUD believes the best approach to alleviating homelessness is through a community-based process that provides a comprehensive response to diverse needs of homeless persons. The fundamental components of a Continuum of Care system are:

- Outreach and assessment to identify a homeless person's needs;
- Immediate (emergency) shelter as a safe, decent alternative to the streets;
- Transitional housing with appropriate supportive services to help people reach independent living; and
- Permanent housing or permanent supportive housing for the disabled homeless.

DISTRIBUTION METHODOLOGY

Funding available in the non-competitive Operations category will be awarded on a formula basis. The amount for this category will be divided by the number of eligible beds, resulting in a per bed award for the year. Each recipient or project sponsor will receive an award determined by the number of eligible beds the applicant provides for homeless persons, pro-rated for the number of months the facility will be used to house homeless persons, or a percentage (50%) of the average daily attendance at day shelter programs.

By January 30th, OHCD will review all requests for ESG reimbursements. Funds not used during the grant year will be carried over into the next year's funding or reallocated to current recipients for operations or special projects.

Award letters will be provided to recipients by May 15th. Grant agreements will be provided by June 30th.

CONTRACT/GRANT AGREEMENT PROCESS

Award letters and Grant Agreements for non-competitive funding under the Operations category will be provided to recipients prior to the beginning of the County's fiscal year, July 1st. Amendments increasing or decreasing the awards may be necessary during the grant year if the number of beds available to the homeless is changed or not fully utilized during the grant year.

COMPLIANCE PERIOD

Recipients must carry out the assisted activities for the period during which ESG assistance is provided. Recipients may use a different site or shelter during this period, as long as the same general population is served. The term general population means either the same types of homeless persons originally served with ESG assistance or persons in the same geographic area.

II. APPLICATION PROCESS

The Emergency Shelter Grant (ESG), is designed to support the operations of emergency shelter, day shelter, winter shelter, and transitional housing facilities. ESG offers grants for the costs of operations of programs for the homeless and staff costs for operations of facilities that do not exceed ten percent (10%) of the ESG award.

ESG funding for operations benefits local government and nonprofit providers of emergency shelter and transitional housing for homeless families and individuals in the Prince William Area. However, the primary beneficiaries are homeless families and individuals residing in facilities that receive ESG support.

Per bed awards are determined based on the number of eligible beds the applicant provides for homeless persons, pro-rated for the number of months the facility will be used to house homeless persons, or a percentage (50%) of the average daily attendance at day shelter programs.

APPLICATION INFORMATION DUE DATE

Completed Applicant Information is due by 5:00 PM, December 1st. Send application to:

Prince William County Office of Housing and Community Development
Dr. A. J. Ferlazzo Building
15941 Donald Curtis Drive, Suite 112
Woodbridge, Virginia 22191

ELIGIBLE APPLICANTS

Eligible applicants are incorporated nonprofit organizations and local governments who provide emergency shelter, transitional housing and/or day shelter programs for homeless persons within the Prince William Area.

Providers of transitional housing who receive a Supportive Housing Program grant for operation of the facility are not eligible for ESG funding for operations.

Evaluation of Applications/Criteria for Award

Applications will be evaluated within 45 days of receipt for requested documentation and verification of number of beds, using the Certificate of Occupancy. If questionable, staff will use the previous grant year's statistical reports to determine average daily occupancy.

Award letters will be provided to recipients by May 15th. Grant agreements will be provided by June 30th.

Funds will be awarded on a formula basis for applications received by the December 1st deadline. The amount for operations will be divided by the number of eligible beds, resulting in a per bed award for the year. Each recipient or project sponsor will receive an award determined by the number of eligible beds the applicant provides for homeless persons, pro-rated for the number of months the facility will be used to house homeless persons, or a percentage (50%) of the average daily attendance at day shelter programs.

PROGRAM REQUIREMENTS

Facility Standards

At a minimum, all facilities assisted with ESG must meet HUD Section 8 Housing Quality Standards and habitability standards. Staff may contact applicants who have not previously received ESG funds to schedule a facility tour prior to a funding decision. Staff may contact all applicants for verification or clarification of information or for additional information prior to a funding decision.

Match

Recipients of ESG funds are required to provide a dollar-for-dollar match. The match must be for the specific project for which ESG funding is requested and must be received and expended within the grant year.

Eligible sources of match are:

- Cash;
- The value of fair rental value of any donated materials or buildings;
- The value of the time and services contributed by volunteers to carry out the program of the subrecipient at a current rate of \$5.00 per hour. [Note: Volunteers providing professional services such as medical or legal services are valued at the reasonable and customary rate in the community.]

Additional Requirements

All applicants must be in good standing with OHCD for homeless assistance grants previously received. Primarily religious organizations must agree to provide all activities under this program in a manner that is free from religious influences. Recipients must abide by the requirements detailed in the Federal Register Part II CFR Part 576, the Housing and Community Development Act of 1992, regulations related to Lead-Based Paint Hazards, and other applicable federal and state regulations. Additional requirements, including reporting requirements, will be communicated prior to executing a Grant Agreement.

Applicants, excluding winter shelters only, are required to offer intake, case management and information and referral services at a minimum. Providers of emergency shelter, excluding winter shelters and day shelters, must be able to document that thirty percent (30%) of the homeless households (a household may be a family or a single individual) served exit into transitional or permanent housing. Providers of transitional housing must be able to document placement of a minimum of seventy percent (75%) of the households who complete the transitional housing program into permanent housing.

Local Approval

Nonprofit applicants must submit a Certification of Local Approval for the project, signed by an authorized local government official.

Additional Documents

Additional documents required with the application are:

- Organizational Chart with all vacancies indicated
- Position Descriptions for all staff positions
- Current Fire Inspection for each emergency facility to be assisted with funding

- Certificate of Occupancy for each newly constructed facility to be assisted with funding
- Certifications and Assurances form, signed by an authorized representative of the applicant
- Board Resolution form for nonprofit applicants or Governing Body Resolution for local government applicants
- Current Financial Management System Information form
- Applicant's most recent audit report or most recent financial statement
- Applicant's operating budget for the current year
- Admissions policy and intake forms/documents

ELIGIBLE ACTIVITIES

Eligible activities are the costs of operations of programs for the homeless, and staff costs for operations of facilities that do not exceed ten percent (10%) of the ESG award.

Ineligible Activities

ESG funds for operations may not be used for the following activities or for any activity that is in violation of federal law or the laws of the Commonwealth of Virginia:

- provision of shelter or services to persons other than those who are homeless;
- provision of emergency shelter for the homeless where clients are charged a fee or rent, required to make a donation or other compensation to receive shelter or services;
- provision of transitional housing program receiving a HUD Supportive Housing Program grant for operations, Section 8 Program subsidy or any other governmental rental subsidy;
- provision of transitional housing where rents exceed 30% of the resident's income;
- provision of transitional housing where annual income from rents exceeds 50% of the organization's total budget for the transitional housing program;
- to acquire real property (buildings, land and structures), including mortgage payments;
- for building conversion or shelter renovation, rehabilitation or repair, or the fees associated with these activities;
- for homeless prevention activities such as, but not limited to, mortgage or rental assistance and rental or utility deposits; and
- provision of shelter beds for which third-party payments are received, including per diem payments from other State agencies and bed set-aside under a purchase of service contract.

FACILITY STANDARDS

At a minimum, all facilities assisted with ESG must meet HUD Section 8 Housing Quality Standards and habitability standards. Staff will contact applicants who have not previously received ESG funds for operations to schedule a facility tour prior to a funding decision. Staff may contact all applicants for verification or clarification of information or for additional information prior to a funding decision.

III. FIANCIAL INFORMATION

AWARDS

The Emergency Shelter Grant awards are determined through a “per bed” method. Per Bed award amounts are based on a formula calculation and the number of eligible ESG beds that project sponsors have available to serve the homeless.

To establish the per bed amount, the Office of Housing and Community Development (OHCD) divided the number of beds of all applicants **who met program eligibility requirements** into the available funds for the fiscal year, giving a per bed dollar amount. Each subrecipient receives an award amount based on the number of beds in the facilities that are approved by the Local Building Official and available to serve the homeless for the full grant year.

Funding for seasonal facilities (winter shelters) is based on the average daily bed count (number of beds provided during past fiscal year) and pro-rated for the number of months the shelter is in operation. Shelters beginning operation during the funding period received funds on a pro rata basis for the number of beds they will provide and the number of months they will be in operation. Funding for day shelters is based on fifty percent (50%) of the average daily attendance of persons for whom homelessness is documented by the provider.

MATCH

All ESG subrecipients are required to provide a dollar-for-dollar match for the entire ESG award amount. The match must be for the specific project for which ESG funding is requested and must be received and expended within the grant year. The SHARE Shelter Support Grant, not including any Temporary Assistance to Needy Families (TANF) funds, is an allowable source of match. Documentation that justifies and verifies this circumstance will be required.

Subrecipients may use any of the following in calculating the amount of matching funds provided:

- Cash;
- The value or fair market value of any donated material or building;
- The value of any lease on a building;
- Any salary paid to staff to carry out the program; and
- The value of the time and services contributed by volunteers to carry out the program at a current rate of \$5 per hour. [Note: Volunteers providing professional services such as medical or legal services are valued at the reasonable and customary rate in the community.]

FUNDS DISBURSEMENT

ESG subrecipients will request their grant award reimbursement by submitting the Quarterly Request for Disbursement Form with a budget which details itemized ESG and match expenditures and names the match source for operations, administration

(excluding staff costs), staff costs, equipment, and/or furnishings. All ESG funds must be requested on the ESG Quarterly Request for Disbursement Form. **No faxed Requests for Disbursement will be accepted.** The Program Administrator will disburse funds upon approval of the budget, and receipt of all items identified in this Manual and requested in the application process. Funds will be disbursed on a reimbursement basis only.

REPORTING AND MONITORING

All ESG subrecipients are required to submit Quarterly Financial Reports to OHCD. Reports shall include, but are not limited to, the following information:

1. Receipt and expenditure of program funds, including back-up documentation;
2. Receipt and expenditure of matching funds, including back-up documentation;
3. Breakdown of services provided and demographic information on the homeless population served;
4. Coordination activities with other local human service providers.

A Grant Closeout Report is required when Quarterly Financial Reports showing expenditure of all ESG funds are submitted to OHCD. All ESG subrecipients, including providers of emergency shelter, winter shelter, day shelter and transitional housing, are required to submit Quarterly Financial Reports until the full amount of the funding award is expended. Subrecipients who operate emergency shelters including winter shelters and day shelters must submit Quarterly Statistical Reports to OHCD; subrecipients that provide transitional housing must submit an Annual Statistical Report to OHCD.

OHCD staff will monitor the use of grant funds through a combination of a thorough review of all quarterly reports, audit review, and site visits.

AUDITS

Audits are one way that an agency or organization obtains an independent, informed judgment regarding the sufficiency of the elements of organization's financial management systems.

The federal standards for audits can be found in OMB Circular A-133. Basically, the federal standards (which derive from the Single Audit Act Amendments of 1996) apply to any entity that spent \$500,000 or more in federal funding in a single year. The audit must be completed within 9 months of the end of each of the fiscal year. The audit must be submitted to the Federal Audit Clearing House and OHCD. For subrecipient organizations spending less than \$500,000 an independent audit by a CPA that included an examination of ESG grant funds within the scope of the audit must be provided to OHCD.

CATALOG OF FEDERAL DOMESTIC ASSISTANCE

The Catalog of Federal Domestic Assistance number (CFDA) for ESG is 14.231. This number must be made available to the accountants who perform your organization's audit or audited financial statements.

IV. REQUIREMENTS FOR ALL SUBRECIPIENTS

PARTICIPATION IN CONTINUUM OF CARE PLANNING

A Continuum of Care Plan identifies housing and service needs for homeless individuals and families; and facilitates a coordinated, comprehensive, and community-based response to the identified needs. A plan includes an inventory of existing resources for prevention, outreach and assessment, emergency shelter, transitional and permanent housing and available supportive services; an evaluation of the demand for housing and services; and the identification of the gap between the existing resources and the need.

All ESG subrecipients must **actively participate** in the Prince William Area Continuum of Care Plan or in any work group in which a local or regional Continuum of Care Plan is under development or consideration that includes all or any part of the subrecipient's service area. Failure to actively participate will result in suspension of funding and may result in recapture of ESG funds.

MAINTENANCE OF FACILITIES

All ESG subrecipients must be able to maintain facilities in such a manner that they meet certain minimum standards. OHCD will use the U. S. Department of Housing and Urban Development Housing Quality Standards (HQS) as a basis for insuring the safety of all occupants. The subrecipient is responsible for ensuring that all funded facilities meet these standards (See HQS form, Appendix 2). ESG funds awarded for facilities that fail to meet minimum standards will be de-obligated and grant funds repaid to OHCD.

PLACEMENT OF HOUSEHOLDS

All Emergency shelters receiving ESG funds (excluding winter shelters and day shelters) must be able to document placement of a **minimum of 30% of the homeless households served into transitional or permanent housing**; Providers of transitional housing receiving ESG funds must be able to document placement of a **minimum of 75% of the households who complete the transitional housing program into permanent housing**. "Household" means all clients including single individuals and families.

REQUIRED TO BE SUBMITTED TO OHCD:

The following items must be submitted to OHCD before ESG funds are disbursed:

- Statement of handicapped accessibility (See following sub-headings)
- List of Board Members (See following sub-headings)
- TABLE 1: Delivery of Supportive Services
(Letters from other agencies for new subrecipients only. See
ADDITIONAL REQUIREMENTS FOR NEW SUBRECIPIENTS)
- Directions to offices and/or shelter facility(s) (See following sub-headings)
- TABLE 2: Methods of Involving Homeless Persons in Operations and

- Maintenance (See *Program Design* section)
- TABLE 3: Sources of Funding
- Fiscal year ESG budget
- Request for Disbursement

HANDICAPPED ACCESSIBILITY

All ESG subrecipients must submit a statement describing the handicapped accessibility of every facility to be assisted with ESG funds. If a facility is not handicapped accessible, the applicant must submit a detailed plan for sheltering a handicapped person. Specific shelters and/or motels should be named as alternate sources of shelter, with a description of their handicapped accessibility.

LIST OF BOARD MEMBERS

All nonprofit subrecipients must submit a current List of Board Members (including officers' names, addresses telephone numbers, and term of service) before any ESG funds are disbursed.

DELIVERY OF SUPPORTIVE SERVICES (See TABLE 1.)

All ESG subrecipient awards must be able to document the delivery of supportive services designed to assist homeless households in the transition to independence. Winter shelters and day shelters **only** are excluded from this requirement.

Complete TABLE 1, indicating services provided in-house and through linkages with other agencies or service providers. If the services offered are part of an in-house program, provide brochures or pamphlets describing these services. If such publications are not available, include a letter, on the applicant's letterhead, signed by the Executive Director or Board President stating what services are offered.

See *Additional Requirements for New ESG Subrecipients* for supplementary requirements related to the delivery of supportive services.

DIRECTIONS

All subrecipients must provide directions and/or a map to the administrative offices or shelter/facility(s) from the nearest major roadway before ESG funds are disbursed.

DAY SHELTERS

Day shelters also serving low-income, non-homeless populations must institute or have in place a method of documenting homelessness and determining an accurate count of homeless persons served. OHCD staff will review the system during monitoring visits.

V. ADDITIONAL REQUIREMENTS FOR NEW ESG SUBRECIPIENTS

NOTE: A new ESG subrecipient is one that did not receive ESG funds in the prior fiscal year. All information must be received before ESG funds are disbursed.

NONPROFIT INFORMATION

All **new** nonprofit subrecipients must submit copies of:

1. Internal Revenue Service 501 (c) Designation
2. Articles of Incorporation
3. State Corporation Certificate
4. Agency By-laws
5. Organizational Chart and Staff Structure

SUPPLEMENTARY INFORMATION

1. All new ESG subrecipients must provide a brochure or brief description of the agency's programs and a picture of all facilities.
2. All new ESG subrecipients must be able to document the **delivery of supportive services** (as identified on TABLE 1) designed to assist homeless households in the transition to independence. Winter shelters and day shelters **only** are excluded from this requirement.
 - If the services offered are part of an in-house program, include brochures or pamphlets describing these services. If such publications are not available, include a letter, on the applicant's letterhead, signed by the Executive Director or Board President stating what services are offered.
 - If services are to be accessed through referral to other agencies or providers, include letters from each stating that they provide the service(s) to clients from the applicant's program. Letters do not have to be submitted to OHCD before ESG funds are disbursed. However, subrecipients unable to provide such letters in a timely manner will have the ESG funds de-obligated and must repay any funds that have been disbursed.

VI. PROGRAM DESIGN FOR ALL APPLICANTS

ELIGIBLE ACTIVITIES

ESG funds may be used for one or more of the following activities:

1. ESG funds, not to exceed 10% of the total ESG award, may be used for staff costs;
2. ESG funds may be used for payment of **shelter** maintenance, operation (including administrative expenses but excluding staff costs), rent, security, fuels, insurance, utilities, and furnishings for emergency shelters, winter shelters, day shelters, and transitional housing facilities;
3. Primarily religious organizations must agree to provide all eligible activities under this program in a manner that is free from religious influences and in accordance with the specific regulations found in the attached Federal Register.

INELIGIBLE ACTIVITIES

ESG funds may not be used for the following activities or for any activity that is in violation of federal law or the laws of the Commonwealth of Virginia:

1. ESG funds may not be used for the provision of services to persons other than those who are homeless (see *Definitions*). For the purposes of this grant, children or juveniles who are wards of the State are not considered homeless persons.
2. ESG funds may not be used for prevention activities.
3. ESG funds may not be used for the provision of emergency shelter wherein the payment of a fee or other compensation is a requirement to receive shelter;
4. ESG funds may not be used for the provision of transitional housing or any other housing for the homeless if any of the following apply:
 - The applicant receives a HUD Supportive Housing grant, Section 8 Program subsidy or any other government rental subsidy to operate the facility;
 - Rents charged exceed 30% of the resident's income;
 - The total annual income from rents exceeds 50% of the last year's total budget for the transitional housing program;
3. ESG funds may not be used for staff costs exceeding 10% of the ESG award;
4. ESG funds may not be used to acquire/purchase real property (buildings, land, and structures), including mortgage payments;
5. ESG funds may not be used for building conversion or shelter renovation, rehabilitation, or repair, or the fees associated with these activities;
6. ESG funds may not be used for the provision of beds for which third-party payments are received. This includes per diem payments from the Department of Social Services, the Department of Corrections, and other State agencies. FEMA funding is not included.
7. ESG funds may not be used to pay the costs associated with audits or audited financial statements.

8. ESG funds may not be used for the purchase of computers including laptops.
9. ESG funds may not be used for travel or staff training.

FAIR HOUSING

All ESG subrecipients must perform and document some action in the area of enforcement and/or promotion to affirmatively further fair housing. During the grant year (July 1st – June 30th) subrecipients must carry out a minimum of one activity to promote fair housing. The activity may be chosen from the following list or may be one that has been specifically approved by the Program Administrator.

1. Adopt a resolution endorsing the concept of fair housing and advertising the resolution through the local media.
2. Enact a local fair housing ordinance substantially equivalent to federal or State law.
3. Attend a fair housing workshop offered or approved by OHCD. A member of the Board or governing body, or the chief administrative official and another appropriate representative (local Realtor, banker, etc.) must attend a fair housing workshop.
4. Provide all project beneficiaries with a copy of the Department of Professional and Occupational Regulation's (DPOR) fair housing brochure.
5. Enlist the participation of local Realtors, lenders, and homebuilders in an agreement and promotion of affirmative marketing, open housing, and review of underwriting, credit criteria, etc. The agreement must be published through the local media.
6. Conduct a public educational program for local housing consumers and providers and/or financial institutions regarding fair housing issues.
7. Develop a public information network using local newspapers, radio stations, bulletin boards, churches, utility bill mailing, etc. to ensure all segments of the community are aware of fair housing requirements, especially Realtors, landlords, financial institutions, and minority households.
8. Develop a fair housing assistance program to make housing opportunities known to minorities, to monitor compliance, and to refer discrimination complaints to the proper authorities.
9. Assess the special housing problems of women and minorities through surveys, etc. and determine any effects of discrimination. Develop a plan to assist in overcoming these effects.
10. Develop or fund a community-based fair housing organization.

PROCESS FOR TERMINATING ASSISTANCE

All ESG subrecipients must have a formal process for terminating assistance to an individual or family. At a minimum, there must be an appeals procedure with one level of administrative review for clients who are evicted or refused service from the facility for any reason. Clients must be informed in writing of the appeals procedure at intake.

Those applicants with small programs and limited staff may have the Executive Director hear all appeals. At a minimum, someone other than the person who made the initial termination of services must hear any appeals. For those applicants with larger programs, a procedure allowing for two or more levels of appeal is appropriate and expected.

The formal process for terminating assistance is required through the Housing and Community Development Act of 1992.

INVOLVEMENT OF HOMELESS PERSONS

All ESG subrecipients must involve homeless individuals and families in the maintenance and operation of facilities, and in the provision of services to residents of these facilities to the maximum extent possible. Methods of achieving client involvement may include having a suggestion box; using chore lists and exit interviews; conducting regularly scheduled house meetings; encouraging clients to assist with children's programs, parenting classes or vocational training; or service as members of the Board.

The involvement of homeless persons is required through the Housing and Community Development Act of 1992. **TABLE 2: METHODS OF INVOLVING HOMELESS PERSONS IN OPERATIONS AND MAINTENANCE must be completed and submitted to OHCD.**

LEAD-BASED PAINT

All emergency shelter and transitional housing facilities constructed prior to 1978 must be inspected to determine the possible presence of lead-based paint hazards. OHCD staff will perform the initial inspections and recommend appropriate actions. See Appendix 4.

PROCUREMENT PROCEDURES

Each ESG subrecipients must have an appropriate procurement procedure in place. At a minimum, three telephone bids must be obtained for any equipment or furniture purchases to be charged totally or in part to ESG.

NOTE: Refer to the Grant Agreement and the Federal Register part II 24 CFR Part 576 for other requirements, including but not limited to accounting records, maintenance of records, contract security, third-party contracts, conflict of interest, confidentiality of records pertaining to family violence, and drug-free workplaces.

Forms

ESG Application

- ESG Application Information
- Facility Information
- Board Resolution for Non-Profits Applicants
- Financial Management System Information
- Certifications and Assurances
- Application Checklist

Required Information Before Contract Signing for ESG Project

- Table 1: Delivery of Supportive Services
- Table 2: Methods of Involving Homeless Persons in Operations and Maintenance
- Table 3: Sources of Funding
- ESG Budget and Instructions
- Sample Subrecipient Agreement
- HUD IDIS Report

Quarterly Report Forms

- Financial Summary
- Summary of Expenditures
- Cash Match Contributions
- In-Kind Contributions
- Quarterly Request For Disbursement
- ESG Quarterly Demographic Report

Closeout Report Forms

- Closeout Form
- HUD IDIS Report
- ESG Demographic Year End Report

ESG APPLICATION INFORMATION

1. Name of Applicant: _____

2. Applicant Type (check one) _____ Non-profit _____ Local Government

3. Mailing Address: _____

4. Contact Person (*This is the person who will receive ALL grant-related information, i.e. correspondence, telephone calls, e-mails, etc.*):

Name: _____ Title: _____

Telephone: _____ FAX: _____ e-mail: _____

Contact for financial information if different (*This is the person who will sign all documents and requests for disbursement, etc.*):

Name: _____ Title: _____

Telephone: _____ FAX: _____ e-mail: _____

5. Type of Shelter Facility(s) (*check all that apply; see Definitions for an explanation of each type*):

☐ Emergency Shelter ☐ Transitional Housing ☐ Winter Shelter ☐ Day Shelter

6. List all cities and counties in your service area: _____

7. Does your organization participate in a Continuum of Care planning group?

☐ Yes ☐ No

Provide name and telephone number of the contact person for this Continuum of Care Plan who can verify your organization's participation and the level of participation:

8. Check all populations served in your homeless facility(s):

<input type="checkbox"/> Unaccompanied Adult Men	<input type="checkbox"/> Unaccompanied Adult Women
<input type="checkbox"/> Unaccompanied Male Youth	<input type="checkbox"/> Unaccompanied Female Youth
<input type="checkbox"/> Single-Parent Families	<input type="checkbox"/> Two-Parent Families
<input type="checkbox"/> Adult Couples Without Children	<input type="checkbox"/> Other Family Composition

9. Does your organization impose requirements other than experiencing homelessness as criteria for receiving housing and services, i.e. victim of domestic violence, substance abuser, release from a correctional facility, previous residency status?

☐ Yes ☐ No

ESG APPLICATION INFORMATION

If yes, provide an explanation of these requirements: _____

10. How long has your organization provided a shelter facility for homeless families and individuals? _____

11. Does your organization have:

- An organizational chart? ☐ Yes ☐ No
If yes, attach copy to your application. Indicate all vacant positions.
- A procedure for performance reviews/evaluation of all staff positions?
☐ Yes ☐ No
- Position descriptions for all staff positions? ☐ Yes ☐ No
If yes, attach a copy of each position description to your application.

12. **A. Emergency Shelter Programs**

- Number of beds, as approved by the local building official, that are available to the homeless for the full grant year (*July 1st through June 30th*): _____
- If your facility will not be in use for the full grant year, when will it open?
(*Indicate month and year*) _____, 200__
- Number of months your facility will be used to house homeless persons in fiscal year: _____
- If applicable, average number of beds for which per diem payments from a third-party or governmental agency will be received in fiscal year (*July 1st through June 30th*): _____
- Does your Emergency Shelter(s) receive a HUD Supportive Housing Program grant for operations? ☐ Yes ☐ No
- If applicable, number of beds set-aside under a purchase of service contract: _____
- Total number of persons sheltered in your facilities the last completed fiscal year: _____
- Number of bed nights for all persons sheltered the last completed fiscal year (*count each time a bed was occupied for the night by any homeless individual as a bed night*): _____
- Total number of those persons who were under the age of 18: _____
- Number of bed nights for persons under the age of 18 in the last completed fiscal year (*count each time a bed was occupied for the night by a child as a bed night*): _____
- Number and percentage of those households who moved to transitional housing or permanent housing from your facility(s): # _____ % _____

ESG APPLICATION INFORMATION

B. Transitional Housing Programs

- Number of beds, as approved by the local building official, that are available to the homeless for the full grant year (*July 1st through June 30th*): _____
- If your facility will not be in use for the full grant year, when will it open?
(Indicate month and year) _____, 200__
- Number of months your facility will be used to house homeless persons in fiscal year: _____
- If applicable, average number of beds for which per diem payments from a third-party or governmental agency will be received in fiscal year (*July 1st through June 30th*): _____
- If applicable, number of beds set-aside under a purchase of service contract: _____
- Does your transitional housing program receive:

HUD Supportive Housing Program grant for operations? ☐ Yes ☐ No
Housing Choice Voucher (Section 8) rental subsidy? ☐ Yes ☐ No

- Total number of persons sheltered in your facilities the last completed fiscal year: _____
- Number of bed nights for all persons sheltered the last completed fiscal year (*count each time a bed was occupied for the night by any homeless individual as a bed night*): _____
- Total number of those persons who were under the age of 18: _____
- Number of bed nights for persons under the age of 18 in the last completed fiscal year (*count each time a bed was occupied for the night by a child as a bed night*): _____
- Number and percentage of those households who moved to permanent housing when leaving your facility(s): # _____ % _____
- Number of households staying in your facility(s) in the last completed fiscal year

C. Day Shelter Programs

Average daily attendance of homeless persons the last completed fiscal year: _____

What method is used to verify the housing status or lack of housing of participants:

13. Complete the table on the following page for each facility to be assisted with ESG funding.
Attach additional copies of the table if needed.

FACILITY INFORMATION

Name of Facility	Street Address (Please indicate if this is a confidential location or address)	Enter type of facility (See types below)	Number of Beds in Facility used for homeless persons	Subsidy 3 rd Party, Housing , Choice Voucher (Section 8), Gov. rental subsidy, HUD Supportive Housing Grant		Subsidized Units	
				Yes	No	# Units Subsidized	# Units Not Subsidized

Enter type of facility using the following abbreviations:

ES (*full-year emergency shelter*)

TH (*transitional housing*)

WS (*winter or seasonal emergency shelter*)

DS (*day shelter with no overnight accommodations*)

DVES (*full-year emergency shelter serving victims of domestic violence*)

BOARD RESOLUTION FOR NON-PROFIT APPLICANTS

- I. WHEREAS, the Prince William County Office of Housing and Community Development, has requested interested applications under the Emergency Shelter Grant (ESG) program.
- II. WHEREAS, assistance is needed to effectively and adequately address the needs of homeless persons, including families, individuals, and/or children, to be served by _____ *(enter name of organization)* in our service area(s) of _____ *(list all jurisdictions on service area)*.
- III. WHEREAS, an application for a grant(s) under the Emergency Shelter Grant (ESG) has been prepared.
- IV. WHEREAS, _____ *(enter name of organization)* agrees, if an award is received, to provide coordination of safe and sanitary shelter and/or supportive services to homeless persons in conformance with the regulations and guidelines of the Emergency Shelter Grant (ESG) program.
- V. WHEREAS, _____ *(enter name and title)* may act on behalf of _____ *(enter name of organization)* and will sign all necessary documents required to complete the grant transaction.
- VI. WHEREAS, any required match under the program guidelines will be provided.
- VII. NOW, THEREFORE, BE IT RESOLVED THAT the Board of Directors of _____ *(enter name of organization)* hereby authorizes _____ *(enter name)* to apply for and accept a grant award under the Emergency Shelter Grant (ESG) program and enter into a Grant Agreement with the Prince William County Office of Housing and Community Development and perform any and all actions and responsibilities in relation to such Agreement.

Signature of Authorized Board Member

Date

Name and Title of Authorized Board Member *(print or type)*

FINANCIAL MANAGEMENT SYSTEM INFORMATION

All applicants, excluding local governments and including subcontractors, must provide this information. List all grant or loan programs you currently administer under the supervision of the Virginia DHCD:

1. Does your organization do its own financial accounting? ☐ Yes ☐ No

If no, who does your organization's financial accounting? _____

2. In your financial accounting system, are the following books of account used?

A. General Ledger ☐ Yes ☐ No

B. Cash Disbursements (Check Register) ☐ Yes ☐ No

C. Cash Receipts (Deposits Received) ☐ Yes ☐ No

D. Fixed Asset ☐ Yes ☐ No

Are financial records maintained by computer? ☐ Yes ☐ No

If yes, provide answers to the following:

What accounting software is used? _____

Who has access to accounting records? _____

Are passwords used to access records? _____

Is there an off-site back-up system? _____

3. List the title of the staff person responsible for the following tasks:

A. Opens mail: _____

B. Deposits checks/funds: _____

C. Reconciles checkbook with bank statement: _____

D. Posts cash receipts: _____

4. Do checks require two signatures? ☐ Yes ☐ No

Whose signatures are required? (Titles)

5. Are individuals who handle the organization's funds bonded? ☐ Yes ☐ No

6. How many years are records retained? _____

7. Is an annual audit completed by an independent accountant? ☐ Yes ☐ No

If no, how often is an audit completed or what other methods are used to ensure fiscal accountability?

8. If applicable, attach a copy of your most recent audit and the operating budget for the current year.

CERTIFICATION AND ASSURANCES

I, _____ (*enter name*), authorized representative of _____ (*enter name of organization*) on behalf of the organization do hereby certify that, if an award is received, the organization will conform to all programmatic regulations, guidelines and requirements set forth in Grant Agreements and Operations Manuals while conducting grant activities for the Emergency Shelter Grant (ESG) program.

To this end, I certify/assure the following:

1. All services/programs supported by grant funds will be delivered on a non-discriminatory basis consistent with the Fair Housing Act of 1988 and the Virginia Fair Housing Law;
2. The facility(s) is ☐ is not ☐ (check one) owned by a church or other primarily religious organization, and if the organization is operating in a facility owned by a religious organization, the funds will not be used for physical improvements to the building/structure;
3. The organization does _____ does not _____ (check one) require a fee or donation as a condition for receiving emergency shelter or related services;
4. The organization operates in a facility that is in compliance with applicable State and local health, building, and fire safety codes, meeting the U. S. Department of Housing and Urban Development's Housing Quality standards and Habitability Standards as a minimum, or agrees to make necessary improvements/repairs for code compliance;
5. The organization shall maintain and operate under a standardized set of procurement procedures designed to assure efficient and proper expenditure of grant funds;
6. The organization will administer a policy to ensure each homeless facility is free from the illegal use, possession or distribution of drugs or alcohol by its employees and/or beneficiaries;
7. The organization will maintain and operate under a standardized conflict of interest procedure for employees and members of the board;
8. The organization will insure the confidentiality of victims of domestic violence;
9. The organization (unless a unit of local government) was incorporated under Virginia law on _____; and
10. The organization (unless a unit of local government) has received Federal tax-exempt status under Section 501 (c) of the U. S. Internal Revenue Code.

I certify that I have read and understood the Application for Emergency Shelter Grant Funding and have answered the questions to the best of my ability:

Signature of Authorized Representative

Date

Title of Authorized Representative (*print or type*)

APPLICATION CHECKLIST

Check the appropriate box. If item is not included, please explain at the bottom of this page or attach additional pages if needed.

APPLICATION FOR EMERGENCY SHELTER GRANT CHECKLIST		
ITEM	YES	NO
Checklist	<input type="checkbox"/>	<input type="checkbox"/>
Signed, Completed, Original Application (6 pages)	<input type="checkbox"/>	<input type="checkbox"/>
Certificate of Occupancy (new facilities only)	<input type="checkbox"/>	<input type="checkbox"/>
Certifications and Assurances	<input type="checkbox"/>	<input type="checkbox"/>
Board Resolution for Non-Profit Applicants	<input type="checkbox"/>	<input type="checkbox"/>
Current Fire Inspection (excludes single-family transitional housing that is privately owned and operated)	<input type="checkbox"/>	<input type="checkbox"/>
Organizational Chart With All Vacancies Indicated	<input type="checkbox"/>	<input type="checkbox"/>
Position Descriptions for All Staff Positions	<input type="checkbox"/>	<input type="checkbox"/>
Current Financial Management System Information	<input type="checkbox"/>	<input type="checkbox"/>
Organization's Most Recent Audit Report	<input type="checkbox"/>	<input type="checkbox"/>
Organization's Operating budget for Current Year	<input type="checkbox"/>	<input type="checkbox"/>
Admissions Policy and Intake Forms/Documents	<input type="checkbox"/>	<input type="checkbox"/>

TABLE 1: DELIVERY OF SUPPORTIVE SERVICES

ESG Subrecipient: _____

Check (3) the services provided to homeless clients and whether the service is a part of your agency's in-house program or provided through linkages with other agencies or service providers in the community. All subrecipients must complete this form and include either 1) brochures or pamphlets describing your in-house program, or 2) a statement on agency letterhead from the Executive Director or Board President. All new subrecipients must submit letters from other agencies or service providers stating that the service is provided to homeless clients residing in your agency's emergency shelter or transitional housing facilities. Services should be appropriate and adequate for the homeless populations served by your agency. At a minimum, need assessment, case management, and information and referral must be provided.

- ☐ Check here if funded previously fiscal year and **no changes** are required in services provided.
☐ Check here if funded previous fiscal year and you are updating services provided. (Indicate updated information on the form below and attach letters to support new linkages, if any)
☐ Check here if not funded previous fiscal (attach letters to support linkages for services provided by other agencies or service providers).

SUPPORTIVE SERVICE	SERVICE PROVIDED	SERVICE IS PROVIDED AS A PART OF YOUR IN HOUSE PROGRAM	SERVICE IS PROVIDED THROUGH LINKAGES WITH OTHERS
Needs Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Case Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information and Referral	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substance Abuse Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Individual / Family Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vocational Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Placement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employment Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adult Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Life Skills Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budgeting / Financial Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parenting Workshops / Classes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Assistance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Children's Program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Day Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Support Group(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Food	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clothing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Housing Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental Health Care / Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

TABLE 2: METHODS OF INVOLVING HOMELESS PERSONS IN OPERATIONS AND MAINTENANCE

ESG Subrecipient: _____

Check (3) all of the following methods of involving homeless persons in the operations and maintenance of your facility, and in the provision of services that you are currently using or will be using in fiscal year 2004:

- ☐ Suggestion Box
- ☐ Chore Lists for Residents
- ☐ Regularly Scheduled House Meetings
- ☐ Clients Assist with Children's Program
- ☐ Clients Assist with Parenting Classes
- ☐ Clients Assist with Vocational Training
- ☐ Clients or Former Clients Serve on Board
- ☐ Exit Interview
- ☐ Other (Be Specific)_____

TABLE 3: SOURCES OF FUNDING

ESG Subrecipient: _____

What is your organization's operating budget for the emergency shelter, winter shelter or transitional housing program for next fiscal year? \$ _____

How much financial support will you receive from local government? \$ _____

Using \$5.00 per hour, what is the value of volunteers in your ESG funded program?

Number of volunteer hours: _____ x \$5.00 = \$ _____

What is the dollar value of donated goods and in-kind services to your ESG funded program? \$ _____

List the services that are not currently provided by your organization that would be provided if funds were available: _____

What is a reasonable estimate of the additional funds necessary for your organization to offer the services identified above? \$ _____

Fiscal Year _____ Budget Emergency Shelter Grant

Agency: _____

Grant # _____

Use back of form or attach pages if needed

CATEGORY	ESG \$\$	MATCH \$\$	MATCH SOURCE
OPERATIONS (List Project Activities)			
-MAINTENANCE			
-STAFF (10% of Award) See Instructions			
-EQUIPMENT/FURNISHINGS Must maintain inventory and appropriate procurement procedures must be followed (List All Planned Purchases)			
ADMINISTRATION See Instructions			
TOTAL			

Fiscal Year Budget Instructions Emergency Shelter Grant

1. Agency-Enter the name of the subrecipient organization/program locality and site.
2. Grant Number- Enter the ESG grant number found on the grant agreement contract.
3. Operations Category eligible expenses include payment for shelter maintenance, operation, rent, repairs, security, fuel/ utilities, food and furnishings. *Note that furnishings include furnishings for the shelter only, this does not include items such as computer equipment including, laptops or office furniture.* Not more than 10% of the grant amount can be used for cost of staff.

Ineligible Operating or maintenance costs include:

- Recruitment or on-going training of staff
- Depreciation
- Cost associated with the organization rather than the supportive housing project (advertisement, pamphlets about organization, surveys, etc.)
- Staff training, entertainment, conferences, or retreats
- Public relations or fund raising
- Bad debts/late fees
- Mortgage payments
- Staff cost that exceeds 10% of grant amount which includes fringe benefits

4. Administration (local Government subrecipients only) eligible expenses include staff to operate the program, preparation of progress reports, audits, and monitoring of recipients.

Ineligible Administrative costs include:

- Preparation of Consolidated Plan and other application submissions
- Conferences or training in professional fields such as accounting and financial management
- Salary of organization's executive director (except to the extent involved in carrying out eligible administrative functions)

IDIS/HUD Reporting Form

FOR OHCD USE ONLY

IDIS Number: _____

Emergency Shelter _____ Transitional Housing _____ Drop-In Shelter _____

Initial Report _____ Year End Report _____

Signature of OHCD Staff Person Verifying Form

Date

**ALL REQUESTED INFORMATION MUST BE PROVIDED BEFORE EMERGENCY
SHELTER GRANT FUNDS ARE DISBURSED**

Incomplete or incorrect forms will be returned; no Emergency Shelter Grant (ESG) funds will be disbursed until all requested information is provided. All answers should reflect numbers and percentages only for those activities funded totally or in part with ESG funds.

Begin Here Complete all four pages

Agency: _____ Grant #: _____

Address: _____

Confidential location: Yes _____ No _____

ESG SERVICES YOUR FACILITY PROVIDES

Indicate Program(s) and Service(s) with an X

- | | |
|---|---|
| <input type="checkbox"/> Emergency Shelter | <input type="checkbox"/> Transitional Housing |
| <input type="checkbox"/> Vouchers for Shelters | <input type="checkbox"/> Outreach |
| <input type="checkbox"/> Drop-In Center (Day Shelter) | <input type="checkbox"/> Soup Kitchen/Meal Distribution |
| <input type="checkbox"/> Food Pantry | <input type="checkbox"/> Health Care |
| <input type="checkbox"/> Mental Health | <input type="checkbox"/> HIV/ AIDS Services |
| <input type="checkbox"/> Alcohol/ Drug Program | <input type="checkbox"/> Employment |
| <input type="checkbox"/> Child Care | <input type="checkbox"/> Homeless Prevention |
| <input type="checkbox"/> Other _____ | |

If any of the following questions do not apply to your ESG program, enter zero (0).

RESIDENTIAL SERVICES

Provide the average number of clients sheltered on an annual basis:

Daily average: Adults: _____ Children: _____
Yearly average: _____ (Both Adults and Children)

NON-RESIDENTIAL SERVICES

Provide the average number of clients receiving services, but not shelter, on an annual basis:

Daily average: _____ (Both Adults and Children)

RESIDENTIAL SERVICES

Provide the approximate percentages on an annual basis of clients receiving shelter:

Unaccompanied Adults (age 18 and over)	Male: _____%	Female: _____%
Unaccompanied Children (under age 18)	Male: _____%	Female: _____%

Families with Children Headed By:

Single Parent (age 18 and over)	Male: _____%	Female: _____%
Youth (Single Parent under 18)	_____%	(Male and Female)
Two Parents (age 18 and over)	_____%	
Two Parents (under age 18)	_____%	
Families with no Children	_____%	

Provide the approximate annual percentages on a daily basis of the clients receiving shelter:

Battered Spouse:	_____ %
Runaway/Throwaway Youth (under age 18):	_____ %
Chronically Mentally Ill:	_____ %
Developmentally Disabled:	_____ %
HIV/AIDS:	_____ %
Alcohol Dependent Individuals:	_____ %
Drug Dependent Individuals:	_____ %
Elderly (age 65 and older):	_____ %
Veterans:	_____ %
Physically Disabled:	_____ %
Other:	_____ %

Provide the number of persons housed on an annual basis in each type of shelter:

Barracks:	_____
Group/Large House:	_____
Scattered Site Apartment:	_____
Single Family Detached House:	_____
Mobile Home/ Trailer:	_____
Hotel/Motel:	_____
Other:	_____
Total of all types above:	_____

FUNDING SOURCES

Provide the amount of funding your organization receives from the following sources on an annual basis:

Emergency Shelter Grant:	\$ _____
Other Federal Sources: (include	\$ _____
Community Development Block Grant (CDBG)	
HOME Investment Partnership Program (HOME)	
Or Housing Opportunities for Persons with AIDS (HOPWA)	
Local Government:	\$ _____
Private Sources:	\$ _____
Fees:	\$ _____
Other:	\$ _____

RACIAL /ETHNIC CHARACTERISTICS

Average number of persons served yearly: _____

Persons

White	_____
Black/African American	_____
Asian	_____
American Indian/Alaska Native	_____
American Indian/Alaska Native & White	_____
Asian & White	_____
Black/African American & White	_____
American Indian/Alaska Native & Black/African American	_____
Other Multi-Racial	_____

Number of Households

Hispanic Head of Households	_____
Non-Hispanic Head of Households	_____

Signature of Person Completing Form

Signature of Authorized Representative

Date

Be sure to copy this report and retain a blank copy for your files, a year-end report will be due at Close Out.

Check One: First Report _____ Year End Report _____

GRANT AGREEMENT EMERGENCY SHELTER GRANT (ESG)

Contract # _____

This Grant Agreement is made by and between the Prince William County Office of Housing and Community Development on behalf of Prince William County and the Subrecipient, _____.

The Grant, which is the subject of this Agreement, is authorized under the Emergency Shelter Grant (ESG) and is funded through an allocation from the U.S. Department of Housing and Urban Development (HUD). The Grant is subject to the terms, guidelines and regulations set forth in the Prince William County Emergency Shelter Grant Operating Manual and HUD's regulations at 24 CFR Part 575, as amended, which are incorporated by reference as part of this Agreement.

Also incorporated as part of this Agreement are the Emergency Shelter Grant (ESG) Application, the Certifications and Assurances form, the Board Resolutions, and all other required organizational documents as appropriate.

In reliance upon the Emergency Shelter Grant (ESG) Application and associated documents, the Office of Housing and Community Development, upon execution of the GRANT AGREEMENT, to provide the Subrecipient the amount of \$_____ for operations and support services to undertake the project activities approved and set forth herewith.

The Subrecipient agrees that funds for operations and supportive services will be matched with an equal amount of funds from sources, which may include SHARE Shelter Support Grant. The Office of Housing and Community Development must approve all match funds.

The Subrecipient further agrees to monitor, oversee and report on the use of funds under this Agreement.

Project Description, Conditions and Additional Assurances

I. Project Description (Approved Activities)

Emergency Shelter Grant (ESG) funds will be restricted to activities between July 1, 2004 through June 30, 2005, specified in the budget submitted by the Subrecipient and approved by the Office of Housing and Community Development as required under Section III Conditions.

II. Execution of Grant Agreement

Signed, original Grant Agreements will be submitted to the Office of Housing and Community Development no later than _____.

III. Fund Disbursement

ESG Subrecipients will request their grant award reimbursement by submitting the Quarterly Request for Disbursement Form with a budget which details itemized ESG and match expenditures and names the match source for operations, administration (excluding staff costs), staff costs, equipment, and/or furnishings. All ESG funds must be requested on the ESG Quarterly Request for Disbursement Form. No funds will be disbursed until all required reports are submitted to the Office of Housing and Community Development.

III. Conditions

A. REPORTS

The Subrecipient will submit the following reports as indicated:

- Budget – A completed Emergency Shelter Grant (ESG) Budget Form will be submitted and approved prior to disbursement of any ESG funds to be used for operations and supportive services. This will include a description of activities to be funded by the Grant and Subrecipient Match.
- Quarterly Reports – Quarterly Reports will be submitted according to a schedule in keeping with the program year. Reports will be submitted by the October 15th, January 15th, April 15th and July 15th. All four Quarterly Reports must be filed even if funds are expended early.
- Closeout Report – A financial Closeout Report must be submitted showing all funds expended.
- Other Reports and Information – Any additional reports and information as required by the Office of Housing and Community Development.

B. ACCOUNTING RECORDS

The Subrecipient shall establish and maintain separate accounts within its existing accounting system or set up accounts independently. The Subrecipient shall record in its accounting system all Grant payments received by it pursuant to the Grant and all other match funds provided for, accruing to, or otherwise received on account of the Grant.

All costs, including paid services contributed by the Subrecipient or others, charged to the Grant shall be supported by properly executed payrolls, time records, invoices, contracts, or vouchers evidencing in proper detail the nature and propriety of the charges. All checks, payrolls, invoices, contract, vouchers, orders, or other accounting documents pertaining in whole, or in part, to the Subrecipient shall be clearly identified, readily accessible, and separate and distinct from all other such documents. Such documents shall reside at the offices of the Subrecipient.

C. MAINTAINANCE OF RECORDS

The Subrecipient shall maintain such records in such a manner as will be prescribed. Records shall be readily accessible to the Office of Housing and Community Development, HUD, appropriate State agencies, and the general public during the course of the project and shall remain intact and accessible for four years thereafter. The exception is if any litigation claim or audit is started before the execution of the four year period the records shall be retained until such action is resolved.

D. COST INCURRED PRIOR TO GRANT AGREEMENT EXECTION

No costs incurred prior to the execution of the AGREEMENT shall be eligible for reimbursement with Grant funds, unless incurred costs are authorized in writing by the Office of Housing and Community Development.

E. CONTRACT SECURITY

The Subrecipient shall secure all materials and equipment purchased or paid for with Grant funds, through insurance coverage of the full value of the same, and maintains an inventory record of Grant purchased items.

Contracts between the Subrecipient and any subsequent or third parties for the undertaking of all or part of the activities for which the grant assistance is being provide to the Subrecipient shall include a provision that subsequent or third parties shall indemnify and hold harmless the County for claims or suits arising out of the subsequent of third parties' acts or omissions.

F. TERMINATION, SUSPENSION, CONDITIONS

If through any cause, the Subrecipient fails to comply with the terms, conditions or requirements of the contract document, the Office of Housing and Community may terminate or suspend this Agreement by giving written notice of the same and specifying the effective date of termination or suspension at least five (5) days prior to such action.

In the cast of contract violations by the Subrecipient, the Office of Housing and Community Development may request that all or some of the grant funds be returned even if the Subrecipient has expended the funds. The request will be made in writing. The Subrecipient agrees to return such funds as requested by the Office of Housing and Community Development within 15 days of receipt of the written request.

G. SUBSEQUENT CONTRACTS

The Subrecipient shall remain fully obligated under the provisions of the Grant Agreement notwithstanding its designation of any subsequent or third parties for the undertaking of all or part of the activities for which the

grant assistance is being provided to the Subrecipient.

Any contractor or subcontractor which is not part the Subrecipient shall comply with all the lawful requirements of the Application necessary to insure that he Project for which assistance is being provided under this Agreement is carried out in accordance with the Subrecipient's Assurances and Certifications.

H. BUDGET REVISIONS/AMENDMENTS

The Subrecipient shall not obligate, encumber, spend or otherwise utilize ESG funds for any activity or purpose not included or not in conformance with the budget as apportioned and as submitted to the Office of Housing and Community Development unless:

- The Subrecipient has received explicit written approval from the Office of Housing and Community Development to undertake such actions, or
- Budget changes may be among approved project activities and among approved budget categories so long as the specific project activity has been approved, there is no change to the total grant amount, and the changes to the budget are documented.

V. Additional Assurances

- A. Subrecipients will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

No person -

- Who is an employee, agent, consultant, officer, or elected or appointed official of the Subrecipient; and who exercises or has exercised any functions or responsibilities with respect to assisted activities; or
- 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 contract, subcontract, or agreement with respect thereto or the proceeds thereunder, either for himself or herself or for those with whom he or she has family or business ties, during his or her tenure, or for one year earlier.

- B. Subrecipient with give the Office of Housing and Community Development, HUD and the Inspector General through any authorized representatives access to and the right to examine all records, books, papers, or documents related to the grant.

- C. Subrecipient must provide homeless individuals and families assistance in obtaining:
- Appropriate supportive services, including permanent housing, medical health treatment, counseling, supervision, and other services essential for achieving independent living; and
 - Other Federal, State, local and private assistance available for such individuals.
- D. Subrecipient 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.
- E. Grantee with comply with:
- 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 I, which provides that no person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Subrecipient receives Federal financial assistance and will immediately take any measures necessary to carry out this assurance.
 - The requirements that the Subrecipient make known that the use of the facilities and services is available to all on a nondiscriminatory basis. Where the procedures that a Subrecipient intends to use to make know the availability of such facilities and services are unlikely to reach persons of any particular race, color, religion, sex, age or national origin within their service area who may qualify for them, the Subrecipient must establish additional procedures that will ensure that these persons are made aware of the facilities and services.
 - 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 and handicaps under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and implementing regulations at 24 CFR Part 8.
 - The requirements of the National Affordable Housing Act (Pub. L. 101-625, November 28, 1990) contained in Section 832(e)(2)(c) that subrecipients 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 Emergency Shelter Grant Program and “that the address or location of any family violence shelter project assisted” under the Emergency Shelter Grant Program “Will, except with written authorization of the person or persons responsible for the operation of such shelter, no be made public.”

- The requirement of the Housing and Community Development Act of 1992 that a formal process for terminating assistance to an individual or family be established, and that, to the maximum extent possible, homeless individuals and families must be involved in maintaining and operating facilities and in providing services for participants or these facilities.
- Section 3 of the Housing and Community Development Act of 1968, as amended, requiring that to the greatest extent feasible opportunities for training and employment be given to lower-income residents of the project area and contracts for work in connection with the project be awarded to eligible business concerns which are located in, or owned in substantial part by, persons residing in the area of the project.
- The requirements of Executive Orders 11625, 12432 and 12138. Consistent with HUD’s responsibilities under these Orders, the Subrecipient must make efforts to encourage the use of minority and women’s business enterprises in connection with activities funded under this part.
- Subrecipient will comply with the regulations, policies, guidelines and requirements of OMB Circular No. A-102, Revised, or A-110 and A0122, and OMB Circular A-87 as they relate to the project, acceptance, and use of Federal funds under this Grant; and , as applicable, all State laws and administrative requirement which may supersede A-102 and A-87 (by virtue of being more stringent).

The financial management system used by local government must provide for audits in accordance with 24 CFR Part 44. A private nonprofit organization is required to submit an annual audit covering the period of the Grant Agreement 60 days after the annual audit is completed.

- The provisions of 24 CFR Part 24 relating to the employment, engagement of services, awarding contracts, or funding of any contractors or subcontractors during any period of debarment, suspension, or placement in ineligibility status.
- The flood insurance purchase requirements of Section 102 (a) of the Flood Disaster Protection Act of 1973, Pub. L. 94-234, 87 Stat. 975, approved December 31, 1973, if rehabilitation activities are included in the grant, Section 103 (a) required, on and after March 2, 1974, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial

assistance for construction or acquisition purposes for use in any area, that has been identified by the Director of the Federal Emergency Management Agency as an area of having special flood insurance.

- The provisions of 24 CFR Part 24, subpart F which requires Subrecipients to maintain a drug-free workplace.
- All other Federal requirements under the provisions of 24 CFR Part 576.

F. If requested by the Office of Housing and Community Development:

- Subrecipient agrees to provide information to the Office of Housing and Community Development who will be responsible to conduct Environmental Reviews under the National Environmental Policy Act (NEPA) of 1969 and other provisions of Federal law as specified at 24 CFR 58 and 58.5.

The GRANT AGREEMENT is hereby executed by the parties on the date set forth below with their respective signatures as follows:

PRINCE WILLIAM COUNTY
OFFICE OF HOUSING AND COMMUNITY DEVELOPMENT

By: _____
Signature

Julián Bermudez, Director
Name & Title

Date

(NAME OF ORGANIZATION)

By: _____
Signature

Name & Title

Date

Directions For Completing The Quarterly Reports

All Forms

- **Agency** Enter the name of organization as it is named on the grant agreement contract i.e.: Homeless Shelter, Inc., Do not substitute your program name for the subrecipient organization name.
- **Grant #** Enter the grant number for the current fiscal year found on the grant agreement contract. Do not use grant numbers from previous years.
- **Quarter #** Enter the number of the quarter (1,2,3,or 4) that is being reported. The reporting quarters and report due dates are found on the grant agreement contract. These dates are as follows:

	Report Period	Due Date
Quarter 1	July 1-September 30	October 15
Quarter 2	October 1-December 31	January 15
Quarter 3	January 1-March 31	April 15
Quarter 4	April 1-June 30	July 15

- **Do not attach printouts or other documents as replacements for these forms.** Use only the Quarterly report forms or contact your grant administrator to discuss other options.
- An authorized person must sign all forms requiring signatures.
- **Only include forms that are relevant to your report for that quarter.** For example, if you are not reporting any match during this report, then do not attach a blank match report form.
- Until you have closed out the grant, you must report every quarter, regardless of whether you spent grant funds or not. A "zero activity report", showing no expenditures for that quarter, must be submitted.
- You must submit the *Quarterly Financial Report* each quarter according to the above schedule **or** until line (E) on the Financial Summary, becomes zero (0) for all categories.

Quarterly Request for Disbursement

This form serves as your request for reimbursement of eligible expenses for the quarter. Attach all invoices, copy of checks or other verification to substantiate expenditures.

- Have the organization's Executive Officer or designee sign the report to verify the accuracy of the contents. Include signature, phone number and e-mail.
- Make a copy of any report that you submit to OHCD for your files.

The Financial Summary Form

This form serves as a summary of all expense activity cumulatively and during the report quarters. Here is how to do it:

Make copies of all blank forms for your use through the fiscal year. Use this reporting forms for the Fiscal Year and Grant indicated only.

Do not use this form to report expenditures for any other grant or for any other fiscal year.

- The categories listed in columns 2, 3, 4, & 5 correspond to those on your grant Budget.
- For line:
 - A.** Since you cannot have expenses before the first quarter, leave line (A) blank for the first quarter. After the first quarter, line (A) is the cumulative expenditure of grant funds from the preceding quarters (not including the one you are reporting for).
 - B.** Line (B) is the expenditure of grant funds for the quarter that is being reported.
 - C.** Line (C) is the total grant expenditure for the year [line (A) plus line (B)].
 - D.** This is the amount from your approved grant budget for each category on line (D).
 - E.** To calculate this amount, subtract line (C), expenses, from line (D), budget. If changes to your budget move grant funds from one category to another, you must reflect that change on line (D) in all subsequent reports. You should write or type "Revised" on any revised reporting forms.
- Have the organization's Executive Officer sign the report to verify the accuracy of the contents.
- If someone other than the Executive Officer completes the financial reporting forms, include that signature, phone number and e-mail.
- Make a copy of any report that you submit to OHCD for your files.

The Summary of Expenditures Form

- In the grid spaces, enter the date, the check number, the name of the vendor to whom each check was written and the dollar amount of the check/expenditure in the column **under the appropriate budgeted category**.
- Eligible expenditures are only those, which have been approved on your budget by OHCD, and those that were incurred within the grant year period. If utilities are an approved item on your budget, for example, you may list a payment for an electric bill as long as the electricity was used between the grant period.

- Pro rata or "split" expenses that result from **cost allocation** or **indirect cost plans** should be documented on your original documentation. The Quarterly Report should show the exact amount of expense allocated to the grant. It is understood that this amount may differ from the actual amount of the check # listed, but your documentation should reflect the indirect allocation.
- Originals or copies of all invoices paid with grant funds and checks must be retained for review by OHCD staff during monitoring/site visits. Make a copy of any report that you submit to OHCD for your files.
- **Do not attach computer printouts from your accounting software as a replacement for this form.**

The Match Expenditures-Cash Contributions Form

You must be able to document all match. This includes, but is not limited to, documentation of the value and source of in-kind contributions, volunteer activities log, and other supporting documentation. In-kind match that is not adequately documented will not be approved. All cash match must have been used specifically for the grant-funded program.

- In the grid spaces, enter the name of the source of the matching cash contribution, the expenditure category that the contribution was used to pay, i.e. Operations, Administration (non-staff), Staff, Equipment/ Furnishings, and the dollar amount.
- Retain records for the receipt and the expenditure of these matching cash contributions for review by OHCD staff during monitoring/site visits.
- Make a copy of any report that you submit to OHCD for your files.

The Match Expenditures-In-Kind Contributions Form

- To report in-kind contributions, enter the type of donation (clothing, furniture), the dollar value of the contribution, and the source of the donation, (Department store, individual).
- To report volunteer hours worked, enter the number of volunteers who worked for the report period, the number of hours that the volunteers worked at the grant funded facility, and the calculated dollar amount at \$5.00 per hour.
- Records for the receipt of in-kind donations and volunteer hours worked must be retained for review by OHCD staff during monitoring/site visits.
- Make a copy of any report that you submit to OHCD for your files.

Quarterly Request For Disbursement

Emergency Shelter Grant (ESG)

On behalf of _____
(*enter name of SUBRECIPIENT*) I hereby request Emergency Shelter Grant funds in the amount of \$_____ to conduct the approved activities set forth in the Application and Grant Agreement under this program between the SUBRECIPIENT and the Prince William County Office of Housing and Community Development (OHCD). **Attach verification of expenditures** by providing copies of invoices, checks or other documentation to substantial reimbursement request.

Grant funds received will be matched from other sources and documentation of this will be made available to OHCD as required.

Request # _____ Grant # _____

Project Name: _____

Send payment to:

Subrecipient Name: _____

Subrecipient Address: _____

Phone # : _____ E-Mail: _____

Signature of Authorized Representative

Date

Print or Type Name and Title

FOR OHCD USE ONLY

IDIS # _____

Amount of Request: \$_____ Balance of Award: \$_____

Approved by Program Administrator: _____ Date: _____

OCA: _____ Sub-Object Code: _____

Approved by OHCD Director: _____ Date: _____

Comments: _____

Financial Summary Form

Agency: _____

Grant # _____ Quarter # _____

	Operations	Administration (Local Government Only)	Staff	Equipment/ Furnishings	Totals	Match Amounts
(A) Previously Reported ESG Expenditures						
(B) ESG Expenditures This Quarter						
(C) Total ESG Expenditures This Year (A + B)						
(D) Total ESG Amount Budgeted						
(E) ESG Grant Balance (D minus C)						

Signature of Authorized Representative

Print or Type Name and Title

Signature of Person Completing Form

Phone#: _____

E-Mail: _____

Summary of Expenditures Form

Agency: _____

Grant #-_____

Quarter # _____

			Enter Amount of Check Under Category of Expenditure			
Date	Check #	Written To	Operations	Administration non-staff	Staff	Equipment/ Furnishings
SUB-TOTAL						
GRAND TOTAL						

Attach Additional Forms if Necessary

Match Expenditures Cash Contributions

Agency: _____

Grant # _____

Quarter # _____

Source	Expense Category *	Amount
SUB-TOTAL		
GRAND TOTAL		

*Expense Category is what the cash contribution was used to pay. This entry should match the budget categories on the ESG budget, i.e., Operations, Administration (non-staff), Staff, and Equipment/Furnishings.

Attach additional copies of this form if necessary

Match Expenditures In-Kind Contributions

Agency:		
Grant #:		Quarter #
IN-KIND CONTRIBUTIONS		
Type *	\$ Value	Source
SUB-TOTAL		
GRAND		

* Type is the kind of donation. Examples are furniture, clothing, and food.

VOLUNTEER TIME		
<i>(must be contributed to the funded program)</i>		
# of Volunteers	# Hours	Dollar Value (@ \$5 per hour)
MAKE SURE YOU CAN DOCUMENT ALL VOLUNTEER HOURS		
Attach additional pages if necessary		

Emergency Shelter Grant (ESG) Demographic Data Report Instructions

The *Demographic Data Report* **must be submitted quarterly**. The Office of Housing and Community Development must receive report and disbursement request quarterly (October 15th, January 15th, April 15th and July 15th).

- **ELECTRONICALLY SUBMIT** this report can be submitted via E-Mail to:
blake@pwcgov.org
- Enter data that reflects client information from the month preceding the month the report is submitted.
- **TANF Eligible Families** - consists of a child living with a custodial parent or other adult caretaker relative with income not to exceed 200% of the federal poverty level. (As published by the United States Department of Health and Human Services.) The most current poverty guidelines are available at www.hhs.gov. Enter "poverty guidelines" in the Search box.
- **NEW Persons**-persons who entered the facility during the reporting quarter.
- **NEW Children/Families** – children/families who entered the program during the reporting quarter.

TOTALS ARE CALCULATED AUTOMATICALLY

- **Begin by entering the Organization Name.**
 - **Type of Shelter (full year emergency shelter, day shelter, winter shelter, domestic violence emergency shelter or transitional housing) and**
 - **Number of Quarter (1, 2, 3 or 4) for which you are reporting. Quarter 1: July-September, Quarter 2: October-December, Quarter 3: January-March, Quarter 4: April-June.**
1. Enter the total number of new households for this quarter as TANF-eligible or All Other Households.
 2. Enter the appropriate number for each sub-category under family composition. Each entry will be either TANF eligible or All Other Households.
 3. Enter the Race for each Head of Household. If the client does not self identify to one of these categories, use your best judgment.
 4. Enter the number of Hispanic Head of Households according to TANF eligibility under "Yes". All others would be "NO."
 5. Enter Number of New Persons by Male and Female according to the Household's TANF-eligibility.
 6. Enter Number of New Persons by Age category according to the Household's TANF-eligibility.
 7. Enter number of New Persons who are Veterans according to TANF-eligibility.
 8. Enter Number of New Households applying for benefits through DSS 30-60 **days prior to entering the shelter** as "Yes". All others are "No".
 9. Enter Source of Referrals for all New Households. Each entry will be either TANF-Eligible or All Other Households.
 10. Enter the Sources of Income for all New Households. Be sure to check all sources that apply.

11. Enter the Reason for Homelessness for each NEW household. Chronic homeless are defined as "An unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more OR has had at least four (4) episodes of homelessness in the last three (3) years."
12. Enter the total number of bed nights provided during the reporting period by Adult and Children.
13. Enter the Number of Persons Turned Away under the appropriate reason.
14. Enter the Housing Placement at Discharge select the appropriate placement under the subcategory Temporary or Permanent and according to the Household's TANF eligibility.

Emergency Shelter Grant Quarterly Demographic

Organization: _____

Type of Shelter: _____

Quarter Covered in this Report: _____ Enter 1, 2, 3,4

	TANF-Eligible Households	All Other Households	Total
1. Total New Households this quarter* (Households can consist of one person. Each unaccompanied person represents a household and should be included as such.)	0	0	0
2. Type of Households	TANF-Eligible Households	All Other Households	Total
Family Composition			
Unaccompanied Adult Men			0
Unaccompanied Male Youth			0
Unaccompanied Adult Women			0
Unaccompanied Female Youth			0
Single Parent-Male Head of Household			0
Single Parent-Female Head of Household			0
Two-Parent Family			0
Adult Couple Without Children			0
Other			0
Total for Quarter (Should equal totals in #1	0	0	0
3. Race of Head of Households			Total
White			0
Black/African American			0
Asian			0
American Indian/Alaska Native			0
American Indian/Alaska Native & White			0
Asian & White			0
Black/African American & White			0
American Indian/Alaska Native & Black African American			0
Other/Multi-Racial			0
Total for Quarter (Should equal totals in #1	0	0	0
4. Hispanic Head of Households			Total
Yes			0
No			0
Total for Quarter (Should equal totals in #1	0	0	0
5. Number of New Persons			Total
Male			0
Female			0
Total for Quarter (All new persons in all households)	0	0	0
6. Age of New Persons			Total
0-4			0
5-12			0
13-17			0
18-61			0
62 or older			0
Total for Quarter (Should equal total in #5)	0	0	0
			Total
7. New Persons - Veterans			

8. # of New Who Applied for Benefits thru DSS 30-60 days prior to entry	Yes	No	Total
Households (Should equal totals in #1)	0	0	0

9. Source of New Referrals (New Households)	TANF-Eligible Households	All Other Households	Total
Department of Social Services			0
Mental Health Agency			0
Police			0
Hospital			0
Emergency Shelter			0
Community Services Agency			0
Family/Friend			0
Faith-based/Church			0
Self-Referral			0
Transitional Housing			0
Total for Quarter (Should equal totals in #1)	0	0	0

10. Source of Income - New Households (Check All that Apply-Indicate source not amount)	TANF-Eligible Households	All Other Households	Total
Wages/Salary			0
TANF (Cash Assistance)			0
TANF (Non-cash assistance through Vendors)			0
Child Support			0
Medicare/Medicaid			0
Food Stamps			0
General Relief			0
Social Security			0
Soc. Sec. Disability Income/SSI			0
Unemployment Benefits			0
Other Disability			0
Housing Subsidy			0
Other			0

11. Reason for Homelessness-New Households	TANF-Eligible Households	All Other Households	Total
Eviction			0
Foreclosure			0
Domestic Violence			0
Chronic			0
Other			0

	Adults (18 or older)	Children (up to age 18)	
12. Total Number of Bed Nights-All Persons Served			
13. Number of Persons Turned Away	Persons		
Reason			
Lack of Bed Space			
Mental Illness			
Drug Addiction			
Two-parent Family			
Mental Retardation			

Intoxication			
Physical Handicap			
Other			
Total Turned Away for Quarter	0		
14. Housing Placement at Discharge (Households)	TANF-Eligible Households	All Other Households	Total
Temporary			
Other Homeless Shelters			0
Transitional Housing			0
Family/Friends			0
Subtotal	0	0	0
Permanent			
Supportive Housing			0
Section 8/Housing Choice Vouchers			0
Public Housing			0
Market Rate Rental			0
Other			0
Subtotal	0	0	0
Unknown or not available			0
Total Discharged for Quarter			0

For 1st Quarterly Report all households are considered New

Reports are due October 15th, January 15th, April 15th and July 15th

**Submit ONE report for each type of shelter:
Full-year Emergency Shelter, Day Shelter, Winter
Shelter, Domestic Violence Emergency Shelter, or
Transitional Housing.**

Closeout Form

(To be completed when ALL grant funds have been expended.)

Agency: _____

Grant # _____

CATEGORY	GRANT		MATCH	
	Budgeted	Actual	Budgeted	Actual
Operations				
Administration (non-staff)				
Staff				
Equipment/Furnishings				
GRAND TOTAL				

Total ESG Award	\$	Total ESG Expenditures	\$	Balance	\$
-----------------	----	------------------------	----	---------	----

ACCOMPLISHMENTS: In a brief narrative, describe the accomplishments made as a direct result of this grant.

I certify to the best of my knowledge that this information is an accurate accounting of program funds. In addition, I promise to send an audited financial statement(s) covering the period during which these grant funds were expended. The audited financial statement(s) will be sent to the Prince William County Office of Housing and Community Development within sixty days of its/their completion.

Name of Person Completing Form

Name of Executive Officer

Title

Title

Signature and Date

Signature and Date

IDIS/HUD Reporting Form

FOR OHCD USE ONLY

IDIS Number: _____

Emergency Shelter _____ Transitional Housing _____ Drop-In Shelter _____

Initial Report _____ Year End Report _____

Signature of OHCD Staff Person Verifying Form

Date

**ALL REQUESTED INFORMATION MUST BE PROVIDED BEFORE EMERGENCY
SHELTER GRANT FUNDS ARE DISBURSED**

Incomplete or incorrect forms will be returned; no Emergency Shelter Grant (ESG) funds will be disbursed until all requested information is provided. All answers should reflect numbers and percentages only for those activities funded totally or in part with ESG funds.

Begin Here Complete all four pages

Agency: _____ Grant #: _____

Address: _____

Confidential location: Yes _____ No _____

ESG SERVICES YOUR FACILITY PROVIDES

Indicate Program(s) and Service(s) with an X

- | | |
|---|---|
| <input type="checkbox"/> Emergency Shelter | <input type="checkbox"/> Transitional Housing |
| <input type="checkbox"/> Vouchers for Shelters | <input type="checkbox"/> Outreach |
| <input type="checkbox"/> Drop-In Center (Day Shelter) | <input type="checkbox"/> Soup Kitchen/Meal Distribution |
| <input type="checkbox"/> Food Pantry | <input type="checkbox"/> Health Care |
| <input type="checkbox"/> Mental Health | <input type="checkbox"/> HIV/ AIDS Services |
| <input type="checkbox"/> Alcohol/ Drug Program | <input type="checkbox"/> Employment |
| <input type="checkbox"/> Child Care | <input type="checkbox"/> Homeless Prevention |
| <input type="checkbox"/> Other _____ | |

If any of the following questions do not apply to your ESG program, enter zero (0).

RESIDENTIAL SERVICES

Provide the average number of clients sheltered on an annual basis:

Daily average: Adults: _____ Children: _____
Yearly average: _____ (Both Adults and Children)

NON-RESIDENTIAL SERVICES

Provide the average number of clients receiving services, but not shelter, on an annual basis:

Daily average: _____ (Both Adults and Children)

RESIDENTIAL SERVICES

Provide the approximate percentages on an annual basis of clients receiving shelter:

Unaccompanied Adults (age 18 and over) Male: _____% Female: _____%
Unaccompanied Children (under age 18) Male: _____% Female: _____%

Families with Children Headed By:

Single Parent (age 18 and over)	Male: _____%	Female: _____%
Youth (Single Parent under 18)	_____ % (Male and Female)	
Two Parents (age 18 and over)	_____ %	
Two Parents (under age 18)	_____ %	
Families with no Children	_____ %	

Provide the approximate annual percentages on a daily basis of the clients receiving shelter:

Battered Spouse:	_____	%
Runaway/Throwaway Youth (under age 18):	_____	%
Chronically Mentally Ill:	_____	%
Developmentally Disabled:	_____	%
HIV/AIDS:	_____	%
Alcohol Dependent Individuals:	_____	%
Drug Dependent Individuals:	_____	%
Elderly (age 65 and older):	_____	%
Veterans:	_____	%
Physically Disabled:	_____	%
Other:	_____	%

Provide the number of persons housed on an annual basis in each type of shelter:

Barracks:	_____
Group/Large House:	_____
Scattered Site Apartment:	_____
Single Family Detached House:	_____
Mobile Home/ Trailer:	_____
Hotel/Motel:	_____
Other:	_____
Total of all types above:	_____

FUNDING SOURCES

Provide the amount of funding your organization receives from the following sources on an annual basis:

Emergency Shelter Grant:	\$ _____
Other Federal Sources: (include	\$ _____
Community Development Block Grant (CDBG)	
HOME Investment Partnership Program (HOME)	
Or Housing Opportunities for Persons with AIDS (HOPWA)	
Local Government:	\$ _____
Private Sources:	\$ _____
Fees:	\$ _____
Other:	\$ _____

RACIAL /ETHNIC CHARACTERISTICS

Average number of persons served yearly: _____

Persons

White	_____
Black/African American	_____
Asian	_____
American Indian/Alaska Native	_____
American Indian/Alaska Native & White	_____
Asian & White	_____
Black/African American & White	_____
American Indian/Alaska Native & Black/African American	_____
Other Multi-Racial	_____

Number of Households

Hispanic Head of Households	_____
Non-Hispanic Head of Households	_____

Signature of Person Completing Form

Signature of Authorized Representative

Date

Be sure to copy this report and retain a blank copy for your files, a year-end report will be due at Close Out.

Check One: First Report _____ Year End Report _____

Emergency Shelter Grant Quarterly Demographic

Organization: _____

Type of Shelter: _____

Quarter Covered in this Report: _____ Enter 1, 2, 3,4

	TANF-Eligible Households	All Other Households	Total
1. Total New Households this quarter* (Households can consist of one person. Each unaccompanied person represents a household and should be included as such.)	0	0	0
2. Type of Households	TANF-Eligible Households	All Other Households	Total
Family Composition			
Unaccompanied Adult Men			0
Unaccompanied Male Youth			0
Unaccompanied Adult Women			0
Unaccompanied Female Youth			0
Single Parent-Male Head of Household			0
Single Parent-Female Head of Household			0
Two-Parent Family			0
Adult Couple Without Children			0
Other			0
Total for Quarter (Should equal totals in #1)	0	0	0
3. Race of Head of Households			Total
White			0
Black/African American			0
Asian			0
American Indian/Alaska Native			0
American Indian/Alaska Native & White			0
Asian & White			0
Black/African American & White			0
American Indian/Alaska Native & Black African American			0
Other/Multi-Racial			0
Total for Quarter (Should equal totals in #1)	0	0	0
4. Hispanic Head of Households			Total
Yes			0
No			0
Total for Quarter (Should equal totals in #1)	0	0	0
5. Number of New Persons			Total
Male			0
Female			0
Total for Quarter (All new persons in all households)	0	0	0
6. Age of New Persons			Total
0-4			0
5-12			0
13-17			0
18-61			0
62 or older			0
Total for Quarter (Should equal total in #5)	0	0	0
			Total
7. New Persons - Veterans			

8. # of New Who Applied for Benefits thru DSS 30-60 days prior to entry	Yes	No	Total
Households (Should equal totals in #1)	0	0	0

9. Source of New Referrals (New Households)	TANF-Eligible Households	All Other Households	Total
Department of Social Services			0
Mental Health Agency			0
Police			0
Hospital			0
Emergency Shelter			0
Community Services Agency			0
Family/Friend			0
Faith-based/Church			0
Self-Referral			0
Transitional Housing			0
Total for Quarter (Should equal totals in #1)	0	0	0

10. Source of Income - New Households (Check All that Apply-Indicate source not amount)	TANF-Eligible Households	All Other Households	Total
Wages/Salary			0
TANF (Cash Assistance)			0
TANF (Non-cash assistance through Vendors)			0
Child Support			0
Medicare/Medicaid			0
Food Stamps			0
General Relief			0
Social Security			0
Soc. Sec. Disability Income/SSI			0
Unemployment Benefits			0
Other Disability			0
Housing Subsidy			0
Other			0

11. Reason for Homelessness-New Households	TANF-Eligible Households	All Other Households	Total
Eviction			0
Foreclosure			0
Domestic Violence			0
Chronic			0
Other			0

	Adults (18 or older)	Children (up to age 18)	
12. Total Number of Bed Nights-All Persons Served			
13. Number of Persons Turned Away	Persons		
Reason			
Lack of Bed Space			
Mental Illness			
Drug Addiction			
Two-parent Family			
Mental Retardation			
Intoxication			

Physical Handicap			
Other			
Total Turned Away for Quarter	0		
14. Housing Placement at Discharge (Households)	TANF-Eligible Households	All Other Households	Total
Temporary			
Other Homeless Shelters			0
Transitional Housing			0
Family/Friends			0
Subtotal	0	0	0
Permanent			
Supportive Housing			0
Section 8/Housing Choice Vouchers			0
Public Housing			0
Market Rate Rental			0
Other			0
Subtotal	0	0	0
Unknown or not available			0
Total Discharged for Quarter			0

For 1st Quarterly Report all households are considered New

Reports are due October 15th, January 15th, April 15th and July 15th

**Submit ONE report for each type of shelter:
Full-year Emergency Shelter, Day Shelter, Winter
Shelter, Domestic Violence Emergency Shelter, or
Transitional Housing.**

Appendix 1 - Definitions

The words and terms listed, when used in these guidelines, shall have the following meaning unless the context clearly indicates otherwise.

Application	The written request for grant funding under this program.
Capacity	Maximum number of full-year resident beds at a facility available for use by the homeless as approved by the local building official.
Day Shelter	A drop-in service center with no overnight accommodation.
Emergency Shelter	Short-term housing for homeless persons.
ESG	Emergency Shelter Grant, funded through the U.S. Department of Housing and Urban Development.
Facility	All or any portion of buildings, structures, cities, complexes, equipment, rolling stock or other conveyances, roads, walks, passageways, parking lots, or other real or personal property, includes the site where the building, property, structure, or equipment is located.
Grant Agreement	Contract between OHCD and the ESG subrecipient containing the terms and conditions provided for within this program.
Handicapped Accessibility	The absence of architectural or communication barriers which restrict full access to a facility by an individual with a physical or mental impairment.
Homeless	<ol style="list-style-type: none"> 1. An individual or family which lacks a fixed, regular, and adequate nighttime residence: or 2. An individual or family which has a primary nighttime residence that is: <ol style="list-style-type: none"> (a) A supervised publicly or privately operated shelter designed to provide temporary living conditions (including welfare hotels, congregate shelters, and transitional housing for persons with mental illness: (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. 3. The term does not include any individual imprisoned or otherwise detained pursuant to an Act of the Congress or a State law. 4. The term does not include any individual or family living in structures that are not physically sound, or those who are living with friends or family in a structure meant to house one family or individual (doubled-up or overcrowded conditions). 5. The term does not apply to those are who considered at imminent danger of becoming homeless due to eviction or foreclosure. If eviction or foreclosure occurs, the individual or family may be considered homeless if there are no other housing resources available to them.
Homeless Assistance Programs	The U.S. Department of Housing and Urban Development (HUD) operates four (4) Homeless Assistance Programs. They are Emergency Shelter Grant (ESG), Supportive Housing Program (SHP), Shelter Plus Care (SPC) program, and Section 8 Single Room Occupancy (SRO) program.
Homeless Facility	A structure used as an emergency shelter, transitional housing, winter shelter, or day shelter.
HUD	The U. S. Department of Housing and Urban Development.
HQS	A set of structural and maintenance standards established by the U. S. Department of Housing and Urban Development.

Linkage	A formal or semi-formal arrangement or agreement with another organization to provide services for the clientele of the applicant organization. Does not include simple resources that are used as referrals unless such resources have the arrangement noted above.
Local Approval	Endorsement of a project proposed by a nonprofit organization by an authorized local government official.
Locality	Is a city, county, or town located within the Commonwealth of Virginia?
Maintenance	Routine repairs to a building or property to assure its continued safe, sanitary, and energy-efficient use.
OHCD	Office of Housing and Community Development
Permanent Housing	A home or apartment, including Section 8, Single Room Occupancy Facilities (SRO) or Public Housing, in which the household plans to stay for a period of time.
Referral	The act of recommending, to a client, a service or services available through another agency, organization, or department. Such a recommendation may be structured and formal to the extent that it includes contact with the referral and follow-up with the client, or it may be unstructured.
Rehabilitation	Substantial physical improvements/repairs to a facility which will secure it structurally; correct building, health, or fire safety code defects; increase energy efficiency; and assure safe and sanitary occupancy.
Service Area	The geographic area or jurisdiction served by a nonprofit organization or a local government Project Sponsor.
SHARE	The State Homeless Housing Assistance Resources, a group of programs intended to benefit the homeless or those at risk of homelessness. The four programs under SHARE are the SHARE Federal Shelter Grant, SHARE Shelter Support Grant, SHARE Expansion, and SHARE Homeless Intervention Program.
Subrecipient	A nonprofit or local government provider of shelter and/or services receiving funding through the ESG.
SSG	The SHARE Shelter Support Grant.
Transitional Housing	Facilities for the homeless designed to meet their longer-term temporary housing and human service needs, wherein the typical stay is over thirty (30) days and less than two years. Facilities identified as transitional housing for HUD funding and/or other grants, brochures, or annual reports must be identified as transitional housing when applying for ESG or SSG funding.
Winter Shelter	Seasonal facilities open during inclement months of the year, providing, at a minimum, beds and food to homeless persons. Other supportive services may be offered.

Appendix 2 - Federal Register Part II 24 CFR Part 576

TITLE 24--HOUSING AND URBAN DEVELOPMENT

SECRETARY FOR COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

PART 576--EMERGENCY SHELTER GRANTS PROGRAM: STEWART B. MCKINNEY
HOMELESS ASSISTANCE ACT

Subpart A--General

Sec.-

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- 576.5 Allocation of grant amounts.

Subpart B--Eligible Activities

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 - Authority: 42 U.S.C. 3535(d) and 11376.
 - Source: 54 FR 46799, Nov. 7, 1989, unless otherwise noted.

Subpart A--General

Sec. 576.1 Applicability and purpose.

This part implements the Emergency Shelter Grants program contained in subtitle B of title IV of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11371-11378). The program authorizes the Secretary to make grants to States, units of general local government, territories, and Indian tribes (and to private nonprofit organizations providing assistance to homeless individuals in the case of grants made with reallocated amounts) for the rehabilitation or conversion of buildings for use as emergency shelter for the homeless, for the payment of certain operating expenses and essential services in connection with emergency shelters for the homeless, and for homeless prevention activities. The program is designed to be the first step in a continuum of assistance to enable homeless individuals and families to move toward independent living as well as to prevent homelessness.

[61 FR 51548, Oct. 2, 1996]

Sec. 576.3 Definitions.

The terms Subrecipient and HUD are defined in 24 CFR part 5. Administrative costs means as the term is defined in Sec. 583.135(b) Of this part, except that the exclusion relates to the costs of carrying out eligible activities under Sec. 576.21(a).

Consolidated plan means the plan prepared in accordance with part 91 of this title. An approved consolidated plan means a consolidated plan that has been approved by HUD in accordance with part 91 of this title.

Conversion means a change in the use of a building to an emergency shelter for the homeless under this part, where the cost of conversion and any rehabilitation costs exceed 75 percent of the value of the building after conversion.

Emergency shelter 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.

Essential services includes services concerned with employment, health, drug abuse, and education and may include (but are not 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, 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.

Formula city or county means a metropolitan city or urban county that is eligible to receive an allocation of grant amounts under Sec. 576.5.

Homeless means as the term is defined in 42 U.S.C. 11302.

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.

Indian tribe means as the term is defined in 42 U.S.C. 5302(a).

Major rehabilitation means rehabilitation that involves costs in excess of 75 percent of the value of the building before rehabilitation.

Metropolitan city means a city that was classified as a metropolitan city under 42 U.S.C. 5302(a) for the fiscal year immediately preceding the fiscal year for which emergency shelter grant amounts are made available.

Nonprofit recipient means any private nonprofit organization providing assistance to the homeless, to which a State or unit of general local government distributes emergency shelter grant amounts.

Obligated means that the subrecipient or State recipient, as appropriate, has placed orders, awarded contracts, 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 nonprofit organization by a written agreement or letter of award requiring payment from the grant amount are obligated.

Private nonprofit organization means as the term is defined in 42 U.S.C. 11371.

Rehabilitation means the labor, materials, tools, and other costs of improving buildings, other than minor or routine repairs. The term includes where the use of a building is changed to an emergency shelter and the cost of this change and any rehabilitation costs does not exceed 75 percent of the value of the building before the change in use.

Renovation means rehabilitation that involves costs of 75 percent or less of the value of the building before rehabilitation.

Responsible entity means as the term is defined in Sec. 58.2 of this title, as applied through Sec. 58.1(b)(3) of this title and Sec. 576.57(e).

State means each of the several States and the Commonwealth of Puerto Rico.

Territory means each of the following: the Virgin Islands, Guam, American Samoa, the Northern Mariana Islands, Palau (Trust Territory of the Pacific), and any other territory or possession of the United States.

State recipient means any unit of general local government or nonprofit organization to which a State makes available emergency shelter grant amounts.

Unit of general local government means any city, county, town, township, parish, village, or other general purpose political subdivision of a State.

Urban county means a county that was classified as an urban county under 42 U.S.C. 5302(a) for the fiscal year immediately preceding the fiscal year for which emergency shelter grant amounts are made

available.

Value of the building means the monetary value assigned to a building by an independent real estate appraiser, or as otherwise reasonably established by the subrecipient or the State recipient.

[54 FR 46799, Nov. 7, 1989, as amended at 56 FR 56128, Oct. 31, 1991; 60 FR 1918, Jan. 5, 1995; 61 FR 5210, Feb. 9, 1996; 61 FR 51548, Oct. 2, 1996]

Sec. 576.5 Allocation of grant amounts.

(a) Territories. HUD will set aside for allocation to the territories an amount equal to 0.2 percent of the total amount of each appropriation under this part in any fiscal year. HUD will allocate this set-aside amount to each territory based upon its proportionate share of the total population of all territories.

(b) States, metropolitan cities, urban counties, and Indian tribes. HUD will allocate the amounts that remain after the set-aside to territories under paragraph (a) of this section, to States, metropolitan cities, urban counties, and Indian tribes, as provided in 42 U.S.C. 11373. HUD will subsequently distribute the amount set aside for Indian tribes under this paragraph as provided in Sec. 576.31.

(c) Notification of allocation amount. HUD will notify in writing each State, metropolitan city, urban county, and territory that is eligible to receive an allocation under this section of the amount of its allocation.

[61 FR 51549, Oct. 2, 1996]

Subpart B--Eligible Activities

Sec. 576.21 Eligible activities.

(a) Eligible activities. Emergency shelter grant amounts may be used for one or more of the following activities relating to emergency shelter for the homeless:

(1) Renovation, major rehabilitation, or conversion of buildings for use as emergency shelters for the homeless;

(2) Provision of essential services to the homeless, subject to the limitations in paragraph (b) of this section;

(3) Payment for shelter maintenance, operation, 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;

(4) Developing and implementing homeless prevention activities, subject to the limitations in 42 U.S.C. 11374(a)(4) and paragraph (c) of this section. Grant funds may be used under this paragraph to assist families that have received eviction notices or notices of termination of utility services only if the conditions stated in 42 U.S.C. 11374(a)(4) are met; and

(5) Administrative costs, in accordance with 42 U.S.C. 11378.

(b) Limitations on provision of essential services. (1) Grant amounts provided by HUD to units of general local government, territories, or Indian tribes, and grant amounts provided by a State to State recipients, may be used to provide an essential service under paragraph (a)(2) of this section only if the service is a new service,

or is a quantifiable increase in the level of a service above that which the unit of general local government (or, in the case of a nonprofit organization, the unit of general local government in which the proposed activities are to be located), territory, or Indian tribe, as applicable, provided with local funds during the 12 calendar months immediately before the subrecipient or State recipient received initial grant amounts.

(2) Limits on the use of assistance for essential services established in 42 U.S.C. 11374(a)(2) are applicable even when the unit of local government, territory, or Indian tribe provides some or all of its grant funds to a nonprofit recipient. This limitation may be waived in accordance with 42 U.S.C. 11374.

(c) Limitation on homeless prevention activities. Limits on the use of assistance for homeless prevention activities established in 42 U.S.C. 11374(a)(4) are applicable even when the unit of local government, territory, or Indian tribe provides some or all of its grant funds to a nonprofit recipient.

[61 FR 51549, Oct. 2, 1996]

Sec. 576.23 Limitations--Primarily religious organizations.

(a) Provision of assistance. (1) Assistance may be provided under this part to a subrecipient or recipient that is a primarily religious organization if the primarily religious organization agrees to provide all eligible activities under this program in a manner that is free from religious influences and in accordance with the following principles:

(i) 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;

(ii) It will not discriminate against any person applying for shelter or any of the eligible activities under this part 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

(iii) It will provide no religious instruction or counseling, conduct no religious services or worship (not including voluntary nondenominational prayer before meetings), engage in no religious proselytizing, and exert no other religious influence in the provision of shelter and other eligible activities under this part.

(2) HUD may provide reallocated amounts to a recipient that is a primarily religious organization if the assistance will not be used by the organization to acquire a structure (in the case of homeless prevention activities under Sec. 576.21(a)(4)), or to rehabilitate a structure owned by the organization, except as described in paragraph (b) of this section.

(b) Rehabilitation or conversion of emergency shelters. Grants may be used to rehabilitate or convert to an emergency shelter a structure that is owned by a primarily religious organization, only if:

(1) The structure (or portion thereof) that is to be renovated, rehabilitated, or converted with HUD assistance has been leased to an existing or newly established wholly secular organization;

(2) The HUD assistance is provided to the secular organization (and not the religious organization) to make the improvements;

(3) The leased structure will be used exclusively for secular purposes available to all persons;

(4) The lease payments paid to the primarily religious organization

do not exceed the fair market rent for the structure before the renovation, rehabilitation, or conversion;

(5) The portion of the cost of any improvements that benefit any unleased portion of the structure will be allocated to, and paid for by, the religious organization; and

(6) The primarily religious organization agrees that if the recipient does not retain the use of the leased premises for wholly secular purposes for the useful life of the improvements, the primarily religious organization will pay to the original subrecipient (from which the amounts used to renovate, rehabilitate, or convert the building were derived) an amount equal to the residual value of the improvements. A private nonprofit organization must remit to HUD this amount if the organization is the lessee as well as the subrecipient. The original subrecipient is expected to use this amount to alleviate homelessness in its jurisdiction, but there is no requirement that funds received after the close of the grant period be used in accordance with the requirements of this part.

(c) Assistance to a wholly secular private nonprofit organization.

(1) A primarily religious organization may establish a wholly secular private nonprofit organization to serve as a recipient. The secular organization may be eligible to receive all forms of assistance available under this part, subject to the following:

(i) The secular organization must agree to provide shelter and services eligible under this part in a manner that is free from religious influences and in accordance with the principles set forth in paragraph (a)(1) of this section.

(ii) The secular organization may enter into a contract with the religious organization to provide essential services or undertake homeless prevention activities. The religious organization must agree in the contract to carry out its contractual responsibilities in a manner free from religious influences and in accordance with the principles set forth in paragraph (a)(1) of this section.

(iii) The rehabilitation, conversion, or renovation of emergency shelters are subject to the requirements of paragraph (b) of this section.

(2) HUD will not require the religious organization to establish the secular organization before the selection of its application. In such a case, the religious organization may apply on behalf of the secular organization. The application will be reviewed on the basis of the religious organization's financial responsibility and capacity, and its commitment to provide appropriate resources to the secular organization after formation. After formation, a secular organization that is not in existence at the time of the application will be required to demonstrate that it meets the definition of private nonprofit organization contained in Sec. 576.3. The obligation of funds will be conditioned upon compliance with these requirements.

[61 FR 51549, Oct. 2, 1996]

Sec. 576.25 Who may carry out eligible activities.

(a) Generally. As provided in 42 U.S.C. 11373 eligible activities may be carried out by all State recipients and subrecipients, except States.

(b) States. All of a State's formula allocation, except for administrative costs, must be made available to the following entities:

(1) Units of general local government in the State, which may

include formula cities and counties even if such cities and counties receive grant amounts directly from HUD; or

(2) Private nonprofit organizations, in accordance with 42 U.S.C. 11373(c).

(c) Nonprofit recipients. Units of general local government, territories, and Indian tribes may distribute all or part of their grant amounts to nonprofit recipients to be used for emergency shelter grant activities.

[61 FR 51549, 51550, Oct. 2, 1996]

Subpart C--Award and Use of Grant Amounts

Source: 54 FR 46799, Nov. 7, 1989, unless otherwise noted.
Redesignated at 61 FR 51550, Oct. 2, 1996.

Sec. 576.31 Application requirements.

(a) Indian tribes. After funds are set aside for allocation to Indian tribes under Sec. 576.5, HUD will publish a Notice of Funding Availability (NOFA) in the Federal Register. The NOFA will specify the requirements and procedures applicable to the allocation and competitive awarding of these set-aside funds to eligible Indian tribe applicants.

(b) States, territories, and formula cities and counties. To receive emergency shelter grant amounts, a State, territory, or formula city or county must:

(1) Submit documentation required under this part, part 5 of this title, or any other applicable provisions of Federal law; and

(2) Submit and obtain HUD approval of a consolidated plan that includes activities to be funded under this part. This consolidated plan serves as the jurisdiction's application for funding under this part.

[61 FR 51550, Oct. 2, 1996]

Sec. 576.33 Review and approval of applications.

(a) Conditional grant. HUD may make a conditional grant restricting the obligation and use of emergency shelter grant amounts. Conditional grants may be made where there is substantial evidence that there has been, or there will be, a failure to meet the requirements of this part. In such a case, the reason for the conditional grant, the action necessary to remove the condition, and the deadline for taking those actions will be specified. Failure to satisfy the condition may result in imposition of a sanction under Sec. 576.69, or in any other action authorized under applicable Federal law.

(b) Grant agreement. The grant will be made by means of a grant agreement executed by HUD and the subrecipient. HUD will not disburse funds before the grant agreement is fully executed.

[54 FR 46799, Nov. 7, 1989, as amended at 60 FR 1918, Jan. 5, 1995.
Redesignated and amended at 61 FR 51550, Oct. 2, 1996]

Sec. 576.35 Deadlines for using grant amounts.

(a)(1) States. Each State must make available to its State recipients all emergency shelter grant amounts that it was allocated under Sec. 576.5 within 65 days of the date of the grant award by HUD. Funds set aside by a State for homeless prevention activities under Sec. 576.21(a)(4) must be made available to State recipients within 180 days of the grant award by HUD.

(2) State recipients--(i) Obligation of grant funds. Each State recipient must have its grant amounts obligated (as that term is defined at Sec. 576.3) within 180 days of the date on which the State made the grant amounts available to the State recipient. In the case of grants for homeless prevention activities under Sec. 576.21(a)(4), State recipients are required to obligate grant amounts within 30 days of the date on which the State made the grant amounts available to the State recipient.

(ii) Expenditure of grant funds. Each State recipient must spend all of its grant amounts within 24 months of the date on which the State made the grant amounts available to the State recipient. In the case of grants for homeless prevention activities, State recipients must spend such sums within 180 days of the date on which the State made the grant amounts available to the recipient.

(b) Formula cities and counties, territories and Indian tribes--Expenditure of grant funds. Each formula city or county, territory, and Indian tribe must spend all of the grant amounts it was allocated or awarded under Sec. 576.5 or 576.31 within 24 months of the date of the grant award by HUD.

(c) Failure to meet deadlines. (1) Any emergency shelter grant amounts that are not made available or obligated within the applicable time periods specified in paragraph (a)(1) or (b) of this section will be reallocated under Sec. 576.45.

(2) The State must recapture any grant amounts that a State recipient does not obligate and spend within the time periods specified in paragraph (a)(2) of this section. The State, at its option, must make these amounts and other amounts returned to the State (except amounts referred to in Sec. 576.22(b)(6) available as soon as practicable to other units of general local government for use within the time period specified in paragraph (a)(2) of this section or to HUD for reallocation under Sec. 576.45.

[54 FR 46799, Nov. 7, 1989. Redesignated and amended at 61 FR 51550, Oct. 2, 1996]

Subpart D--Reallocations

Source: 54 FR 46799, Nov. 7, 1989, unless otherwise noted.
Redesignated at 61 FR 51550, Oct. 2, 1996.

Sec. 576.41 Reallocation; lack of approved consolidated plan--formula cities and counties.

(a) Applicability. This section applies where a formula city or county fails to submit or obtain HUD approval of its consolidated plan within 90 days of the date upon which amounts under this part first become available for allocation in any fiscal year.

(b) Subrecipient. HUD will make available to the State in which the

city or county is located the amounts that a city or county referred to in paragraph (a) of this section would have received.

(c) Notification of availability. The responsible HUD field office will promptly notify the State of the availability of any reallocation amounts under this section.

(d) Eligibility for reallocation amounts. In order to receive reallocation amounts under this section, the State must:

(1) Execute a grant agreement with HUD for the fiscal year for which the amounts to be reallocated were initially made available.

(2) If necessary, submit an amendment to its application for that fiscal year for the reallocation amounts it wishes to receive. The amendment must be submitted to the responsible HUD field office no later than 30 days after notification is given to the State under paragraph (c) of this section.

(e) Amendment review and approval. (1) Section 576.33 governs the review and approval of application amendments under this section. HUD will endeavor to make grant awards within 30 days of the application amendment deadline, or as soon thereafter as practicable.

(2) Program activities represented by proposed amendments are subject to environmental review under Sec. 576.57 in the same manner as original proposals.

(f) Deadlines for using reallocated grant amounts. Section 576.35 governs the use of amounts reallocated under this section.

(g) Amounts that cannot be reallocated. Any grant amounts that cannot be reallocated to a State under this section will be reallocated as provided by Sec. 576.43. Amounts that are reallocated under this section, but that are returned or unused, will be reallocated under Sec. 576.45.

[54 FR 46799, Nov. 7, 1989, as amended at 56 FR 56128, Oct. 31, 1991; 60 FR 1918, Jan. 5, 1995. Redesignated and amended at 61 FR 51551, Oct. 2, 1996]

Sec. 576.43 Reallocation of grant amounts; lack of approved consolidated plan--States, territories, and Indian tribes.

(a) Applicability. This section applies when:

(1) A State, territory, or Indian tribe fails to obtain approval of its consolidated plan within 90 days of the date upon which amounts under this part first become available for allocation in any fiscal year; or

(2) Grant amounts cannot be reallocated to a State under Sec. 576.41.

(b) Subrecipients. (1) HUD will reallocate the amounts that a State or Indian tribe referred to in paragraph (a) (1) of this section would have received:

(i) In accordance with 42 U.S.C. 11373(d) (3); and

(ii) If grant amounts remain, then to territories that demonstrate extraordinary need or large numbers of homeless individuals.

(2) HUD will make available the amounts that a territory under paragraph (a) (1) of this section would have received to other territories that demonstrate extraordinary need or large numbers of homeless individuals.

(c) Notification of funding availability. HUD will make reallocations to States and Indian tribes under this section by direct notification or Federal Register notice that will set forth the terms and conditions under which amounts under this section are to be

reallocated and grant awards made. In the case of reallocations to Territories, the responsible HUD field office will promptly notify each Territory of any reallocation amounts under this section, and indicate the terms and conditions under which reallocation amounts are to be made available and grant awards made.

(d) Eligibility for reallocation amounts. In order to receive reallocation amounts under this section, the formula city or county, State, territory, or Indian tribe must:

(1) Submit an amendment, in accordance with 24 CFR part 91, to its consolidated plan for that program year to cover activities for the reallocation amount it wishes to receive; and

(2) Execute a grant agreement with HUD for the fiscal year for which the amounts to be reallocated were initially made available.

(e) Review and approval. (1) Section 576.53, and such additional requirements as HUD may specify in the notification under paragraph (c) of this section, govern the review and approval of application amendments under this section. HUD will rank the amendments and make grant awards under this section on the basis of the following factors:

(i) The nature and extent of the unmet homeless need within the jurisdiction in which the grant amounts will be used;

(ii) The extent to which the proposed activities address this need; and

(iii) The ability of the subrecipient to carry out the proposed activities promptly.

(2) HUD will endeavor to make grant awards within 30 days of the application amendment deadline, or as soon thereafter as practicable.

(f) Grant amounts. HUD may make a grant award for less than the amount applied for or for fewer than all of the activities identified in the application amendment.

(g) Deadlines for using reallocated amounts. Section 576.35 governs the use of amounts reallocated under this section.

(h) Amounts not reallocated. Any grant amounts that are not reallocated under this section, or that are reallocated, but are unused, will be reallocated under Sec. 576.45(d). Any amounts that are reallocated, but are returned, will be reallocated under Sec. 76.45(c).

[54 FR 46799, Nov. 7, 1989, as amended at 56 FR 56129, Oct. 31, 1991; 60 FR 1918, Jan. 5, 1995. Redesignated and amended at 61 FR 51551, Oct. 2, 1996]

Sec. 576.45 Reallocation of grant amounts; returned or unused amounts.

(a) General. From time to time, HUD will reallocate emergency shelter grant amounts that are returned or unused, as those terms are defined in paragraph (f) of this section. HUD will make reallocations under this section by direct notification or Federal Register Notice that will set forth the terms and conditions under which the grant amounts are to be reallocated and grant awards are to be made.

(b) FEMA boards. HUD may use State and local boards established under the Emergency Food and Shelter Program administered by the Federal Emergency Management Agency, as a resource to identify potential applicants for reallocated grant amounts.

(c) Reallocation--returned grant amounts--(1) States and formula cities and counties. HUD will endeavor to reallocate returned emergency shelter grant amounts that were initially allocated under Sec. 576.5 to a State or a formula city or county, for use within the same

jurisdiction. Reallocation of these grant amounts is subject to the following requirements:

(i) Returned grant amounts that were allocated to a State will be made available (A) first, to units of general local government within the State and (B) if grant amounts remain, then to other States.

(ii) Returned grant amounts that were allocated to a formula city or county will be made available:

(A) First, for use in the city or county, to units of general local government that are authorized under applicable law to carry out activities serving the homeless in the jurisdiction;

(B) If grant amounts remain, then to the State in which the city or county is located;

(C) If grant amounts remain, to units of general local government in the State; and

(D) If grant amounts remain, to other States.

(2) Indian tribes. Returned grant amounts that were allocated to an Indian tribe will be made available to other Indian tribes.

(3) Territories. Returned grant amounts that were allocated to a territory will be made available, first, to other territories and, if grant amounts remain, then to States.

(4) Further reallocation: States, formula cities and counties, territories, and Indian tribes. HUD will reallocate under paragraph (e) of this section any grant amounts that remain after applying the preceding provisions of paragraph (c) of this section or that are returned to HUD after reallocation under those provisions.

(5) The responsible HUD field office will announce the availability of returned grant amounts. The announcement will establish deadlines for submitting applications, and will set out other terms and conditions relating to grant awards, consistent with this part. The announcement will specify the application documents to be submitted.

(6) The responsible HUD field office may establish maximum grant amounts, considering the grant amounts available, and will rank the applications using the criteria in paragraph (e) of this section.

(7) HUD may make a grant award for less than the amount applied for or for fewer than all of the activities identified in the application, based on competing demands for grant amounts and the extent to which the respective activities address the needs of the homeless.

(8) HUD will endeavor to make grant awards within 30 days of the application deadline or as soon thereafter as practicable.

(9) Grants awarded under this section are subject to environmental review under Sec. 576.57.

(d) Reallocation--unused grant amounts. Unused grant amounts will be added to the appropriation for the fiscal year immediately following the fiscal year in which the amounts become available to HUD for reallocation, and will be allocated in accordance with the provisions of Sec. 576.5 of this part.

(e) Selection criteria. HUD will award grants under paragraph (c) of this section based on consideration of the following criteria:

(1) The nature and extent of the unmet homeless need within the jurisdiction in which the grant amounts will be used;

(2) The extent to which the proposed activities address this need; and

(3) The ability of the subrecipient to carry out the proposed activities promptly.

(f) Definitions--returned or unused grant amounts. (1) For purposes of this section, emergency shelter grant amounts are considered ``returned'' when they become available for reallocation because a

jurisdiction does not execute a grant agreement with HUD for them.

(2) For purposes of this section, emergency shelter grant amounts are considered ``unused'' (i.e., Federal deobligation):

(i) When they become available for reallocation by HUD after a subrecipient has executed a grant agreement with HUD for those amounts; or

(ii) The amounts remain after reallocation under Sec. 576.43 or paragraph (c) of this section.

[54 FR 46799, Nov. 7, 1989, as amended at 57 FR 54507, Nov. 19, 1992; 60 FR 1918, Jan. 5, 1995. Redesignated and amended at 61 FR 51551, Oct. 2, 1996]

Subpart E--Program Requirements

Source: 54 FR 46799, Nov. 7, 1989, unless otherwise noted. Redesignated at 61 FR 51550, Oct. 2, 1996.

Sec. 576.51 Matching funds.

(a) General. Each subrecipient, other than a territory, must match the funding provided by HUD under this part as set forth in 42 U.S.C. 11375. The first \$100,000 of any assistance provided to a recipient that is a State is not required to be matched, but the benefit of the unmatched amount must be shared as provided in 42 U.S.C. 11375(c)(4). Matching funds must be provided after the date of the grant award to the subrecipient. Funds used to match a previous ESG grant may not be used to match a subsequent grant award under this part. A subrecipient may comply with this requirement by providing the matching funds itself, or through matching funds or voluntary efforts provided by any State recipient or nonprofit recipient (as appropriate).

(b) Calculating the matching amount. In calculating the amount of matching funds, in accordance with 42 U.S.C. 11375(a)(3), the time contributed by volunteers shall be determined at the rate of \$5 per hour. For purposes of this paragraph, the subrecipient will determine the value of any donated material or building, or of any lease, using a method reasonably calculated to establish a fair market value.

[61 FR 51552, Oct. 2, 1996]

Sec. 576.53 Use as an emergency shelter.

(a)(1) Restrictions and definition. Period of use restrictions applicable to assistance provided under this part are governed by 42 U.S.C. 11375(a). Use of grant amounts for developing and implementing homeless prevention activities does not trigger period of use requirements.

(2) For purposes of the requirements under this section, the term same general population means either the same types of homeless persons originally served with ESG assistance (i.e., battered spouses, runaway children, families, or mentally ill individuals), or persons in the same geographic area.

(b) Calculating the applicable period. The 3- and 10-year periods applicable under paragraph (a) of this section begin to run:

(1) In the case of a building that was not operated as an emergency shelter for the homeless before receipt of grant amounts under this part, on the date of initial occupancy as an emergency shelter for the

homeless.

(2) In the case of a building that was operated as an emergency shelter before receipt of grant amounts under this part, on the date that grant amounts are first obligated for the shelter.

[54 FR 46799, Nov. 7, 1989. Redesignated and amended at 61 FR 51552, Oct. 2, 1996]

Sec. 576.55 Building standards.

(a) Any building for which emergency shelter grant amounts are used for conversion, major rehabilitation, rehabilitation, or renovation must meet local government safety and sanitation standards.

(b) For projects of 15 or more units, when rehabilitation costs are:

(1) 75 percent or more of the replacement cost of the building, that project must meet the requirements of Sec. 8.23(a) of this title; or

(2) Less than 75 percent of the replacement cost of the building, that project must meet the requirements of Sec. 8.23(b) of this title.

[61 FR 51552, Oct. 2, 1996]

Sec. 576.56 Homeless assistance and participation.

(a) Assistance. (1) Subrecipients and recipients must assure that homeless individuals and families are given assistance in obtaining:

(i) Appropriate supportive services, including permanent housing, medical health treatment, mental health treatment, counseling, supervision, and other services essential for achieving independent living; and

(ii) Other Federal, State, local, and private assistance available for such individuals.

(2) Requirements to ensure confidentiality of records pertaining to the provision of family violence prevention or treatment services with assistance under this part are set forth in 42 U.S.C. 11375(c) (5).

(3) Subrecipients and recipients may, in accordance with 42 U.S.C. 11375(e), terminate assistance provided under this part to an individual or family who violates program requirements.

(b) Participation. (1) Each unit of local government, Indian tribe, and nonprofit recipient that receives funds under this part must provide for the participation of homeless individuals on its policymaking entity in accordance with 42 U.S.C. 11375(d).

(2) Each State, territory, Indian tribe, unit of local government, and nonprofit recipient that receives funds under this part must involve homeless individuals and families in providing work or services pertaining to facilities or activities assisted under this part, in accordance with 42 U.S.C. 11375(c) (7).

[61 FR 51552, Oct. 2, 1996]

Sec. 576.57 Other Federal requirements.

In addition to the Federal requirements set forth in 24 CFR part 5, use of emergency shelter grant amounts must comply with the following requirements:

(a) Nondiscrimination and equal opportunity. The nondiscrimination

and equal opportunity requirements at 24 CFR part 5 are modified as follows:

(1) Rehabilitation Act requirements. HUD's regulations at 24 CFR part 8 implement section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794). For purposes of the emergency shelter grants program, the term ``dwelling units'' in 24 CFR part 8 shall include sleeping accommodations.

(2) Use of emergency shelter grant amounts must also comply with the requirement that the subrecipient or the State recipient make known that use of the facilities and services is available to all on a nondiscriminatory basis. If the procedures that the subrecipient or recipient intends to use to make known the availability of the facilities and services are unlikely to reach persons of any particular race, color, religion, sex, age, national origin, familial status, or disability who may qualify for such facilities and services, the subrecipient or recipient must establish additional procedures that will ensure that such persons are made aware of the facilities and services. Subrecipients and recipients must also adopt procedures which will make available to interested persons information concerning the location of services and facilities that are accessible to persons with disabilities.

(b) Applicability of OMB Circulars.\1\ 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 and use of emergency shelter grant amounts by States and units of general local government, and Nos. A-110 and A-122 as they relate to the acceptance and use of emergency shelter grant amounts by private nonprofit organizations.

\1\ OMB Circulars referenced in this section are available at the Entitlement Cities Division, Room 7282, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

(c) The Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846), the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4851-4856), and implementing regulations at part 35, subparts A, B, J, K, and R of this title apply to activities under this program.

(d) Conflicts of interest. In addition to the conflict of interest requirements in OMB Circulars A-102 and A-110, no person--

(1)(i) Who is an employee, agent, consultant, officer, or elected or appointed official of the subrecipient, State recipient, or nonprofit recipient (or of any designated public agency) that receives emergency shelter grant amounts and

(ii) Who exercises or has exercised any functions or responsibilities with respect to assisted activities, or

(2) 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 contract, subcontract, or agreement with respect thereto, or the proceeds there under, 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 Sec. 570.611 (d) and (e) of this chapter.

(e) Environmental review responsibilities--(1) Generally. Responsible entities must assess the environmental effects of each application under part 58 of this title. An applicant must include in

its application an assurance that the applicant will assume all the environmental review responsibility that would otherwise be performed by HUD as the responsible Federal official under the National Environmental Policy Act of 1969 (NEPA) and related authorities listed in part 58 of this title. The grant award is subject to completion of the environmental responsibilities set out in part 58 of this title within a reasonable time period after notification of the award. This provision does not preclude the applicant from enclosing its environmental certification and Request for Release of Funds with its application.

(2) Awards to States. In the case of emergency shelter grants to States that are distributed to:

(i) Units of general local government, the unit of general local government shall be the responsible entity, and the State will assume HUD's functions with regard to the release of funds; or

(ii) Nonprofit organizations, the State shall be the responsible entity, and HUD will perform functions regarding release of funds under part 58 of this title.

(3) Release of funds. HUD will not release funds for an eligible activity if the subrecipient, recipient, or any other party commits emergency shelter grant funds before the subrecipient submits, and HUD approves, any required Request for Release of Funds.

(f) Audit. The financial management systems used by a State, formula city or county, governmental entity, or an Indian tribe that is a subrecipient under this program must provide for audits in accordance with part 44 of this title. A private nonprofit organization is subject to the audit requirements of OMB Circular A-133, as set forth in part 45 of this title. (OMB Circulars are available from the Executive Office of the President, Publication Service, 725 17th Street, NW., Suite G-2200, Washington, DC 20503, Telephone, 202-395-7332.)

(g) Audit. The financial management system used by a State or unit of general local government that is a subrecipient or 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-133, as set forth in 24 CFR part 45.

(h) Lobbying and disclosure requirements. The disclosure requirements and prohibitions of 42 U.S.C. 3537a and 3545 and 31 U.S.C. 1352 (the Byrd Amendment), and the implementing regulations at parts 4 and 87 of this title.

(i) Davis-Bacon Act. The provisions of the Davis-Bacon Act (40 U.S.C. 276a-276a-5) do not apply to this program.

(j) 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.

[54 FR 46799, Nov. 7, 1989, as amended at 57 FR 33256, July 27, 1992; 61 FR 5210, Feb. 9, 1996. Redesignated and amended at 61 FR 51552, Oct. 2, 1996; 64 FR 50226, Sept. 15, 1999]

Effective Date Note: At 64 FR 50226, Sept. 15, 1999, Sec. 576.57 was amended by revising paragraph (c), effective Sept. 15, 2000. For the convenience of the user, the superseded text is set forth as follows:

Sec. 576.57 Other Federal requirements.

* * * * *

(c) Lead-based paint. The requirements, as applicable, of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846) and implementing regulations at 24 CFR part 35. In addition, the subrecipient (or in the case of States, the State recipient) must also meet the following requirements relating to inspection and abatement of defective lead-based paint surfaces:

(1) Treatment of defective paint surfaces must be performed before final inspection and approval of the renovation, rehabilitation or conversion activity under this part; and

(2) Appropriate action must be taken to protect shelter occupants from the hazards associated with lead-based paint abatement procedures.

* * * * *

Sec. 576.59 Relocation and acquisition.

(a) Minimizing displacement. Consistent with the other goals and objectives of this part, subrecipients and recipients must assure that they have taken all reasonable steps to minimize the displacement of persons (families, individuals, businesses, nonprofit organizations, and farms) as a result of a project assisted under this part.

(b) Relocation assistance for displaced persons. A displaced person (defined in paragraph (f)(1) of this section) must be provided relocation assistance at the levels described in, and in accordance with, 49 CFR part 24, which contains the government-wide regulations implementing the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) (42 U.S.C. 4601-4655).

(c) Real property acquisition requirements. The acquisition of real property for a project is subject to the URA and the requirements described in 49 CFR part 24, subpart B.

(d) Responsibility of subrecipients and recipients. Each subrecipient and recipient must assure that it will comply with the URA, the regulations at 49 CFR part 24, and the requirements of this section. The cost of assistance required by this section may be paid from local public funds, funds provided in accordance with this part, or funds available from other sources.

(e) Appeals. A person who disagrees with the subrecipient's or recipient's determination concerning a payment or other assistance required by this section may file a written appeal of that determination with the subrecipient or recipient. The appeal procedures to be followed are described in 49 CFR 24.10.

(f) Definition--(1) Displaced person. (i) The term "displaced person" means a person (family, individual, business, nonprofit organization, or farm) that moves from real property, or moves personal property from real property, permanently and involuntarily, as a direct result of acquisition, rehabilitation, or demolition for a project assisted under this part. Permanent, involuntary moves for an assisted project include:

(A) A permanent move from the real property (building or complex) following notice by the subrecipient, recipient or property owner to move permanently from the property, if the move occurs on or after the date that the subrecipient or recipient submits to HUD an application

for assistance that is later approved and funded;

(B) A permanent move from the real property that occurs before the submission of the application to HUD, if the subrecipient, recipient or HUD determines that the displacement resulted directly from acquisition, rehabilitation, or demolition for the project, or

(C) A permanent move from the real property by a tenant-occupant of a dwelling unit that occurs after the execution of the agreement between the recipient and HUD if:

(1) The tenant has not been provided a reasonable opportunity to lease and occupy a suitable, decent, safe and sanitary dwelling in the same building/complex following the completion of the project at a rent, including estimated average utility costs, that does not exceed the greater of the tenant's rent and estimated average utility costs before the initiation of negotiations, or 30 percent of gross household income; or

(2) The tenant has been required to relocate temporarily but the tenant is not offered payment for all reasonable out-of-pocket expenses incurred in connection with the temporary relocation or other conditions of the temporary relocation are not reasonable, and the tenant does not return to the building/complex; or

(3) The tenant is required to move to another unit in the same building/complex but is not offered reimbursement for all reasonable out-of-pocket expenses incurred in connection with the move.

(ii) A person does not qualify as a ``displaced person'' if:

(A) The person has been evicted for cause based upon a serious or repeated violation of material terms of the lease or occupancy agreement and HUD determines that the eviction was not undertaken for the purpose of evading the obligation to provide relocation assistance;

(B) The person moved into the property after the submission of the application and, before commencing occupancy, received written notice of the expected displacement;

(C) The person is ineligible under 49 CFR 24.2(g)(2); or

(D) HUD determines that the person was not displaced as a direct result of acquisition, rehabilitation, or demolition for the project.

(iii) The subrecipient or recipient may, at any time, request a HUD determination of whether a displacement is or would be covered under this section.

(2) Initiation of negotiations. For purposes of determining the type of replacement housing payment to be made to a residential tenant displaced as a direct result of privately undertaken rehabilitation, demolition, or acquisition of the real property, the term ``initiation of negotiations'' means the execution of the agreement between the subrecipient and HUD.

(Approved by the Office of Management and Budget under OMB control number 2506-0089)

[54 FR 46799, Nov. 7, 1989, as amended at 54 FR 52397, Dec. 21, 1989. Redesignated at 61 FR 51553, Oct. 2, 1996]

Subpart F--Grant Administration

Source: 54 FR 46799, Nov. 7, 1989, unless otherwise noted. Redesignated at 61 FR 51550, Oct. 2, 1996.

Sec. 576.61 Responsibility for grant administration.

Subrecipients are responsible for ensuring that emergency shelter grant amounts are administered in accordance with the requirements of this part and other applicable laws. The State, territory, Indian tribe, or unit of local government is responsible for ensuring that its recipients carry out the recipients' emergency shelter grant programs in compliance with all applicable requirements in the case of:

- (a) A State making grant amounts available to State recipients; or
- (b) A territory, Indian tribe, or unit of general local government distributing grant amounts to nonprofit recipients.

[54 FR 46799, Nov. 7, 1989. Redesignated and amended at 61 FR 51553, Oct. 2, 1996]

Sec. 576.63 Method of payment.

Payments are made to a subrecipient upon its request after the grant agreement has been fully executed, and may include a working capital advance for 30 days' cash needs or an advance of \$5,000, whichever is greater. Thereafter, the subrecipient will be reimbursed for the amount of its actual cash disbursements. If a subrecipient requests a working capital advance, it must base the request on a realistic, firm estimate of the amounts required to be disbursed over the 30-day period in payment of eligible activity costs.

[54 FR 46799, Nov. 7, 1989. Redesignated and amended at 61 FR 51553, Oct. 2, 1996]

Sec. 576.65 Recordkeeping.

(a) Each subrecipient must ensure that records are maintained for a 4-year period to document compliance with the provisions of this part.

(b) Requirements to ensure confidentiality of records pertaining to the provision of family violence prevention or treatment services with assistance under this part are set forth in 42 U.S.C. 11375(c)(5).

[61 FR 51553, Oct. 2, 1996]

Sec. 576.67 Sanctions.

(a) HUD sanctions. If HUD determines that a subrecipient is not complying with the requirements of this part or of other applicable Federal law, HUD may (in addition to any remedies that may otherwise be available) take any of the following sanctions, as appropriate:

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

(b) State sanctions. If a State determines that a State recipient is not complying with the requirements of this part or other applicable

Federal laws, the State must take appropriate actions, which may include the actions described in paragraph (a) of this section. Any grant amounts that become available to a State as a result of a sanction under this section must, at the option of the State, be made available (as soon as practicable) to other nonprofit organizations or units of general local government located in the State for use within the time periods specified in Sec. 576.35(a)(2), or to HUD for reallocation under Sec. 576.45(d).

(c) Reallocations. Any grant amounts that become available to HUD as a result of the imposition of a sanction under this section will be reallocated under Sec. 576.45(d).

[54 FR 46799, Nov. 7, 1989. Redesignated and amended at 61 FR 51553, Oct. 2, 1996]

Appendix 3-Lead Safe Housing Regulations

HUD Regulation 1012-1013 –Requirements for Notification, Evaluation and Reduction of Lead-Based Paint Hazards if Federally Owned Residential Property and Housing Receiving Federal Assistance.

Effective September 15, 2000, the U. S. Dept. of Housing and Urban Development (HUD) implemented its new regulation titled “**Requirements for Notification, Evaluation and Reduction of Lead-Based Paint Hazards in Federally Owned Residential Property and Housing Receiving Federal Assistance**”.

The Prince William County Office of Housing and Community Development, which is the chief administering agency of federal housing funds for the Prince William Area, has assumed a leadership role in educating the public on the impact of this new regulation on their activities associated with developing and rehabilitating low-income affordable housing. All projects receiving federal HOME Investment Partnership Program money (HOME), Community Development Block Grant money (CDBG), Emergency Shelter Grants (ESG), and Housing Opportunities for Persons with AIDS (HOPWA) money will be required to evaluate any residential or residential use property built before 1978 for the presence of lead-based paint, and treat any such identified hazards. In addition, only properly certified personnel may be placed on projects above a certain dollar amount.

The new requirements emphasize “safe work practices” which are intended to reduce the generation of dust and prevent contamination of the property. Safe work practices help to protect residents and contractors from lead exposure.

Contractors should know how to protect themselves, their workers, and residents from lead paint dust, paint chips and contaminated soil. Working safely with lead requires few new tools and techniques. Contractors should follow these simple steps to minimize the risk of lead poisoning:

General Precautions

- Identify tasks on each project where children should be excluded because they may be exposed to lead dust.
- Ensure that durable plastic sheeting and tape are available to isolate the worksite and cover the floor and ground.
- Before sanding or scraping, use a spray bottle to dampen painted surfaces to control lead dust.
- Use a utility knife to pre-score painted material being removed. Dampen the area before scoring.
- Prior to doing the work, painted surfaces that will be disturbed by the rehabilitation activity must be tested for lead paint by a certified lead inspector (often available at local housing or health departments).

- Paint chip analyses can be performed for as little as \$5-10 per sample.
- Since much paint does not contain lead, testing indicates what additional requirements will apply. If no lead is present, no additional requirements apply. If lead is present, safe work practices must be followed.
- **As an alternative to testing, one can presume that lead paint is present and follow the safe work practices described below.**

SAFE WORK PRACTICES

Safe work practices reduce the amount of dust generated and include: 1) a prohibition on specific methods of paint removal, 2) occupant protection and worksite preparation, and 3) specialized cleaning.

Following the work, you must perform a clearance examination of the worksite to make certain it is safe for residents to enter.

Safe work practices are not required if the area of paint which will be disturbed is below a de minimus (or threshold) level. The de minimus levels are:

- Twenty square feet for exterior surfaces

Two square feet for any one interior room or space, or 10 percent of the total surface area of any small surface such as a window sill or trim.

Effective November 15, 1999, certain methods of paint removal are prohibited because they release large amounts of dangerous dust and fumes.

Prohibited methods are:

- Open flame burning or torching
- Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control (this includes the use of belt sanders)
- Abrasive blasting or sandblasting without HEPA local exhaust control
- Heat guns operating above 1100 degrees Fahrenheit or charring the paint
- Dry sanding or dry scraping, except dry scraping in conjunction with heat guns or within 1 foot of electrical outlets, or when treating defective paint spots totaling no more than the de minimus levels
- Paint stripping in a poorly ventilated space using methylene chloride

Worksite Protection

Occupants and their belongings should be protected and the worksite prepared by:

- Excluding residents from the worksite.
- Taping heavy plastic over floors, doors, windows, and vents to prevent the release and spreading of lead dust, paint chips and debris.
- Moving furniture out of the work area or covering it with heavy plastic.

Cleaning

Specialized cleaning of the work area following the job can effectively remove lead dust and prevent lead exposure.

- Use a High Efficiency Particulate Air (HEPA) vacuum to clean all floors and other surfaces where dust can settle.
- Wash floors, walls, window sills, and other surfaces with detergent and rinse with fresh water.
- Dispose of debris, paper towels and wash cloths in heavy plastic bags. Never burn lead debris.

Clearance

Following the rehabilitation activities, clearance is required unless the painted surfaces, which were disturbed, are less than the de minimus levels (see safe work practices).

- Clearance examinations include a visual evaluation *and* a dust test to determine if hazardous levels of lead remain following cleaning.
- Clearance examinations must be performed by a certified lead-based paint inspector, risk assessor, or clearance technician (local community development agency, housing or health departments are often able to provide this testing).

For More Information

- To speak to a HUD Specialist about the new Federal regulation, call (202) 755-1785x104 or send e-mail to lead_regulations@hud.gov. For copies of the HUD regulation (*Final New HUD Regulation on Lead-Based Paint Hazards in Federally Owned Housing and Housing Receiving Federal Assistance*, September 1999), or HUD's *Lead Paint Safety Field Guide*, call the National Lead Information Center at (800) 424-LEAD or visit www.hud.gov/lead

Note: Due to the lack of a sufficient number of trained, licensed (certified) or accredited personnel throughout the Commonwealth of Virginia subrecipients are not obligated to comply with the Lead-Based Paint Hazard Evaluation and Reduction Requirements of the Lead Safe Housing Regulation at this time. The new compliance date for all subrecipients has been set for March 15, 2001.

Appendix 4 - HQS Standards Inspection

Housing Quality Standards Inspection Form

Inspection Form

Housing Choice Voucher Program

U.S. Department of Housing and Urban Development Office of Public and Indian Housing

OMB Approval No. 2577-0169
(exp. 12/31/2002)

Public reporting burden for this collection of information is estimated to average 0.25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This collection of information is authorized under Section 8 of the U.S. Housing Act of 1937 (42 U.S.C. 1437f). The information is used to determine if a unit meets the housing quality standards of the section 8 rental assistance program.

PHA	Tenant ID Number	Date of Request (mm/dd/yyyy)
Inspector	Date Last Inspection (mm/dd/yyyy)	Date of Inspection (mm/dd/yyyy)
Neighborhood/Census Tract	Type of Inspection <input type="checkbox"/> Initial <input type="checkbox"/> Special <input type="checkbox"/> Reinspection	Project Number

A. General Information

Street Address of Inspected Unit

City	County	State	Zip
Name of Family		Current Telephone of Family	
Current Street Address of Family			
City	County	State	Zip
Number of Children in Family Under 6			
Name of Owner or Agent Authorized to Lease Unit Inspected		Telephone of Owner or Agent	
Address of Owner or Agent			

Housing Type (check as appropriate)

- ☐ Single Family Detached
- ☐ Duplex or Two Family
- ☐ Row House or Town House
- ☐ Low Rise: 3,4 Stories, Including Garden Apartment
- ☐ High Rise: 5 or More Stories
- ☐ Manufactured Home
- ☐ Congregate
- ☐ Cooperative
- ☐ Independent Group Residence
- ☐ Single Room Occupancy
- ☐ Shared Housing
- ☐ Other:(Specify)

B. Summary Decision on the Unit

(to be completed after the form has been filled in)

Housing Quality Standard Pass or Fail

☐ 1. **Fail** If there are any checks under the column headed "Fail" the unit fails the minimum housing quality standards. Discuss with the owner the repairs noted that would be necessary to bring the unit up to the standard.

☐ 2. **Inconclusive** If there are no checks under the column headed "Fail" and there are checks under the column headed "Inconclusive," obtain additional information necessary for a decision (question owner or tenant as indicated in the item instructions given in this checklist). Once additional information is obtained, change the rating for the item and record the date of verification at the far right of the form.

☐ 3. **Pass** If neither (1) nor (2) above is checked, the unit passes the minimum housing quality standards. Any additional conditions described in the right hand column of the form should serve to (a) establish the precondition of the unit, (b) indicate possible additional areas to negotiate with the owner, (c) aid in assessing the reasonableness of the rent of the unit, and (d) aid the tenant in deciding among possible units to be rented. The tenant is responsible for deciding whether he or she finds these conditions acceptable.

Unit Size: Count the number of bedrooms for purposes of the FMR or Payment Standard. Record in the box provided.

Year Constructed: Enter from Line 5 of the Request for Tenancy Approval form. Record in the box provided.

Number of Sleeping Rooms: Count the number of rooms which could be used for sleeping, as identified on the checklist. Record in the box provided.

C. How to Fill Out This Checklist

Complete the checklist on the unit to be occupied (or currently occupied) by the tenant. Proceed through the inspection as follows:

Area

room by room

basement or utility room
outside
overall

Checklist Category

1. Living Room
2. Kitchen
3. Bathroom
4. All Other Rooms Used for Living
5. All Secondary Rooms Not Used for Living
6. Heating & Plumbing
7. Building Exterior
8. General Health & Safety

Each part of the checklist will be accompanied by an explanation of the item to be inspected.

Important: For each item numbered on the checklist, **check one box only** (e.g., check one box only for item 1.4 "Security," in the Living Room.)

In the space to the right of the description of the item, if the decision on the item is: "Fail" write what repairs are necessary; If "Inconclusive" write in details.

Also, if "Pass" but there are some conditions present that need to be brought to the attention of the owner or the tenant, write these in the space to the right.

If it is an annual inspection, record to the right of the form any repairs made since the last inspection. If possible, record reason for repair (e.g., ordinary maintenance, tenant damage).

If it is a complaint inspection, fill out only those checklist items for which complaint is lodged. Determine, if possible, tenant or owner cause.

Once the checklist has been completed, return to Part B (Summary Decision on the Unit).

1. Living Room

1.1 Living Room Present

Note: If the unit is an efficiency apartment, consider the living room present.

1.2 Electricity

In order to qualify, the outlets must be present and properly installed in the baseboard, wall or floor of the room. Do not count a single duplex receptacle as two outlets, i.e., there must be **two** of these in the room, or **one** of these **plus a permanently installed ceiling or wall light fixture**.

Both the outlets and/or the light must be working. Usually, a room will have sufficient lights or electrical appliances plugged into outlets to determine workability. Be sure light fixture does not fail just because the bulb is burned out.

Do not count any of the following items or fixtures as outlets/fixtures: Table or floor lamps (these are **not** permanent light fixtures); ceiling lamps plugged into socket; extension cords.

If the electric service to the unit has been temporarily turned off check "Inconclusive." Contact owner or manager after inspection to verify that electricity functions properly when service is turned on. Record this information on the checklist.

1.3 Electrical Hazards

Examples of what this means: broken wiring; noninsulated wiring; frayed wiring; improper types of wiring, connections or insulation; wires lying in or located near standing water or other unsafe places; light fixture hanging from electric wiring without other firm support or fixture; missing cover plates on switches or outlets; badly cracked outlets; exposed fuse box connections; overloaded circuits evidenced by frequently "blown" fuses (ask the tenant).

Check "Inconclusive" if you are uncertain about severity of the problem and seek expert advice.

1.4 Security

"Accessible to outside" means: doors open to the outside or to a common public hall; windows accessible from the outside (e.g. basement and first floor); windows or doors leading onto a fire escape, porch or other outside place that can be reached from the ground.

"Lockable" means: the window or door has a properly working lock, or is nailed shut, or the window is not designed to be opened. A storm window lock that is working properly is acceptable. Windows that are nailed shut are acceptable only if these windows are not needed for ventilation or as an alternate exit in case of fire.

1.5 Window Condition

Rate the windows in the room (including windows in doors).

"Severe deterioration" means that the window no longer has the capacity to keep out the wind and the rain or is a cutting hazard. Examples are: missing or broken-out panes; dangerously loose cracked panes; windows that will not close; windows that, when closed, do not form a reasonably tight seal.

If more than one window in the room is in this condition, give details in the space provided on the right of the form.

If there is only "moderate deterioration" of the windows the item should "Pass." "Moderate deterioration" means windows which are reasonably weather-tight, but show evidence of some aging, abuse, or lack of repair. Signs of deterioration are: minor crack in window pane; splintered sill; signs of some minor rotting in the window frame or the window itself; window panes loose because of missing window putty. Also for deteriorated and peeling paint see 1.9. If more than one window is in this condition, give details in the space provided on the right of the form.

1.6 Ceiling Condition

"Unsound or hazardous" means the presence of such serious defects that either a potential exists for structural collapse or that large cracks or holes allow significant drafts to enter the unit. The condition includes: severe bulging or buckling; large holes; missing parts; falling or in danger of falling loose surface materials (other than paper or paint).

Pass ceilings that are basically sound but have some nonhazardous defects, including: small holes or cracks; missing or broken ceiling tiles; water stains; soiled surfaces; unpainted surfaces; peeling paint (for peeling paint see item 1.9).

1.7 Wall Condition

"Unsound or hazardous" includes: serious defects such that the structural safety of the building is threatened, such as severe buckling, bulging or leaning; damaged or loose structural members; large holes; air infiltration.

Pass walls that are basically sound but have some nonhazardous defects, including: small or shallow holes; cracks; loose or missing parts; unpainted surfaces; peeling paint (for peeling paint see item 1.9).

1.8 Floor Condition

"Unsound or hazardous" means the presence of such serious defects that a potential exists for structural collapse or other threats to safety (e.g., tripping) or large cracks or holes allow substantial drafts from below the floor. The condition includes: severe buckling or major movements under walking stress; damaged or missing parts.

Pass floors that are basically sound but have some nonhazardous defects, including: heavily worn or damaged floor surface (for example, scratches or gouges in surface, missing portions of tile or linoleum, previous water damage). If there is a floor covering, also note the condition, especially if badly worn or soiled. If there is a floor covering, including paint or sealant, also note the conditions, specially if badly worn, soiled or peeling (for peeling paint, see 1.9).

1.9 Lead-Based Paint

Housing Choice Voucher Units If the unit was built January 1, 1978, or after, no child under age six will occupy or currently occupies it, is a 0-BR, elderly or handicapped unit with no children under age six on the lease or expected, has been certified lead-based paint free by a certified lead-based paint inspector (no lead-based paint present or no lead-based paint present after removal of lead-based paint.), check NA and do not inspect painted surfaces.

This requirement applies to all painted surfaces (building components) within the unit. (Do not include tenant belongings). Surfaces to receive a visual assessment for deteriorated paint include walls, floors, ceilings, built in cabinets (sink bases), baseboards, doors, door frames, windows systems including mullions, sills, or frames and any other painted building component within the unit. Deteriorated paint includes any painted surface that is peeling, chipping, chalking, cracking, damaged or otherwise separated from the substrate.

All deteriorated paint surfaces **more than 2 sq. ft. in any one interior room or space, or more than 10% of the total surface area of an interior type of component with a small surface area (i.e., window sills, baseboards, and trim)** must be stabilized (corrected) in accordance with all safe work practice requirements and clearance is required. **If the deteriorated painted surface is less than 2 sq. ft. or less than 10% of the component, only stabilization is required. Clearance testing is not required.** Stabilization means removal of deteriorated paint, repair of the substrate, and application of a new protective coating or paint. Lead-Based Paint Owner Certification is required following stabilization activities, except for *de minimis* level repairs.

1. Living Room

For each numbered item, check one box only.

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
1.1 Living Room Present	Is there a living room?	<input type="checkbox"/>	<input type="checkbox"/>			
1.2 Electricity	Are there at least two working outlets or one working outlet and one working light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.3 Electrical Hazards	Is the room free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.4 Security	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
1.5 Window Condition	Is there at least one window, and are all windows free of signs of severe deterioration or missing or broken out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
1.6 Ceiling Condition	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
1.7 Wall Condition	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
1.8 Floor Condition	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
1.9 Lead-Based Paint	Are all painted surfaces free of deteriorated paint?	<input type="checkbox"/>	<input type="checkbox"/>			
	If no, does deteriorated surfaces exceed two square feet and/or more than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	

Additional Comments: (Give Item Number)

Comments continued on a separate page Yes ☐ No ☐

2. Kitchen

2.1 Kitchen Area Present

Note: A kitchen is an area used for preparation of meals. It may be either a separate room or an area of a larger room (for example, a kitchen area in an efficiency apartment).

2.2 - 2.9 Explanation for these items is the same as that provided for "Living Room" with the following modifications:

2.2 Electricity

Note: The requirement is that at least one outlet and one permanent light fixture are present and working.

2.5 Window Condition

Note: The absence of a window does not fail this item in the kitchen. If there is no window, check "Pass."

2.10 Stove or Range with Oven

Both an oven and a stove (or range) with top burners must be present and working. If either is missing and you know that the owner is responsible for supplying these appliances, check "Fail." Put check in "Inconclusive" column if the tenant is responsible for supplying the appliances and he or she has not yet moved in. Contact tenant or prospective tenant to gain verification that facility will be supplied and is in working condition. Hot plates are not acceptable substitutes for these facilities.

An oven is not working if it will not heat up. To be working a stove or range must have all burners working and knobs to turn them off and on. Under "working condition," also look for hazardous gas hook-ups evidenced by strong gas smells; these should fail. (Be sure that this condition is not confused with an unlit pilot light - a condition that should be noted, but does not fail.)

If both an oven and a stove or range are present, but the gas or electricity are turned off, check "Inconclusive." Contact owner or manager to get verification that facility works when gas is turned on. If both an oven and a stove or range are present and working, but defects exist, check "Pass" and note these to the right of the form. Possible defects are marked, dented, or scratched surfaces; cracked burner ring; limited size relative to family needs.

A microwave oven may be substituted for a tenant-supplied oven and stove (or range).

A microwave oven may be substituted for an owner-supplied oven and stove (or range) if the tenant agrees and microwave ovens are furnished instead of ovens and stoves (or ranges) to both subsidized and unsubsidized tenants in the building or premises.

2.11 Refrigerator

If no refrigerator is present, use the same criteria for marking either "Fail" or "Inconclusive" as were used for the oven and stove or range.

A refrigerator is not working if it will not maintain a temperature low enough to keep food from spoiling over a reasonable period of time. If the electricity is turned off, mark "Inconclusive." Contact owner (or tenant if unit is occupied) to get verification of working condition.

If the refrigerator is present and working but defects exist, note these to the right of the form. Possible minor defects include: broken or missing interior shelving; dented or scratched interior or exterior surfaces; minor deterioration of door seal; loose door handle.

2.12 Sink

If a permanently attached kitchen sink is not present in the kitchen or kitchen area, mark "Fail." A sink in a bathroom or a portable basin will not satisfy this requirement. A sink is not working unless it has running hot and cold water from the faucets and a properly connected and properly working drain (with a "gas trap"). In a vacant apartment, the hot water may have been turned off and there will be no hot water. Mark this "Inconclusive." Check with owner or manager to verify that hot water is available when service is turned on.

If a working sink has defects, note this to the right of the item. Possible minor defects include: dripping faucet; marked, dented, or scratched surface; slow drain; missing or broken drain stopper.

2.13 Space for Storage, Preparation, and Serving of Food

Some space must be available for the storage, preparation, and serving of food. If there is no built-in space for food storage and preparation, a table used for food preparation and a portable storage cabinet will satisfy the requirement. If there is no built-in space, and no room for a table and portable cabinet, check "Inconclusive" and discuss with the tenant. The tenant makes the final determination as to whether or not this space is acceptable.

If there are some minor defects, check "Pass" and make notes to the right. Possible defects include: marked, dented, or scratched surfaces; broken shelving or cabinet doors; broken drawers or cabinet hardware; limited size relative to family needs.

2. Kitchen

For each numbered item, check one box only.

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
2.1 Kitchen Area Present	Is there a kitchen?	<input type="checkbox"/>	<input type="checkbox"/>			
2.2 Electricity	Are there at least one working outlet and one working, permanently installed light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.3 Electrical Hazards	Is the kitchen free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.4 Security	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
2.5 Window Condition	Are all windows free of signs of deterioration or missing or broken out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
2.6 Ceiling Condition	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
2.7 Wall Condition	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
2.8 Floor Condition	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
2.9 Lead-Based Paint	Are all painted surfaces free of deteriorated paint? If no, does deteriorated surfaces exceed two square feet and/or less than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	
2.10 Stove or Range with Oven	Is there a working oven, and a stove (or range) with top burners that work? If no oven and stove (or range) are present, is there a microwave oven and, if microwave is owner-supplied, do other tenants have microwaves instead of an oven and stove (or range)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.11 Refrigerator	Is there a refrigerator that works and maintains a temperature low enough so that food does not spoil over a reasonable period of time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.12 Sink	Is there a kitchen sink that works with hot and cold running water?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.13 Space for Storage, Preparation, and Serving of Food	Is there space to store, prepare, and serve food?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

3. Bathroom

3.1 Bathroom Present

Most units have easily identifiable bathrooms (i.e., a separate room with toilet, washbasin and tub or shower). In some cases, however, you will encounter units with scattered bathroom facilities (i.e., toilet, washbasin and tub or shower located in separate parts of the unit). At a minimum, there must be an enclosure around the toilet. In this case, count the enclosure around the toilet as the bathroom and proceed with 3.2-3.9 below, with respect to this enclosure. If there is more than one bathroom that is normally used, rate the one that is in best condition for Part 3. If there is a second bathroom that is also used, complete Part 4 of the checklist for this room. (See Inspection Manual for additional notes on rating the second bathroom.)

3.2 - 3.9 Explanation for these items is the same as that provided for "Living Room" with the following modifications:

3.2 Electricity

Note: The requirement is that at least one permanent light fixture is present and working

3.3 Electrical Hazards

Note: In addition to the previously mentioned hazards, outlets that are located where water might splash or collect are considered an electrical hazard.

3.5 Window Condition

Note: The absence of a window does not fail this item in the bathroom (see item 3.13, Ventilation, for relevance of window with respect to ventilation). If there is no window, but a working vent system is present, check "Pass."

3.7 Wall Condition

Note: Include under nonhazardous defects (that would pass, but should be noted) the following: broken or loose tile; deteriorated grouting at tub/wall and tub/floor joints, or tiled surfaces; water stains.

3.8 Floor Condition

Note: Include under nonhazardous defects (that would pass, but should be noted) the following: missing floor tiles; water stains.

3.10 Flush Toilet in Enclosed Room in Unit

The toilet must be contained within the unit, be in proper operating condition, and be available for the exclusive use of the occupants of the unit (i.e., outhouses or facilities shared by occupants of other units are not acceptable). It must allow for privacy.

Not working means: the toilet is not connected to a water supply; it is not connected to a sewer drain; it is clogged; it does not have a trap; the connections, vents or traps are faulty to the extent that severe leakage of water or escape of gases occurs; the flushing mechanism does not function properly. If the water to the unit has been turned off, check "Inconclusive." Obtain verification from owner or manager that facility works properly when water is turned on.

Comment to the right of the form if the toilet is "present, exclusive, and working," but has the following types of defects: constant running; chipped or broken porcelain; slow draining.

If drain blockage is more serious and occurs further in the sewer line, causing backup, check item 7.6, "Fail," under the plumbing and heating part of the checklist. A sign of serious sewer blockage is the presence of numerous backed-up drains.

3.11 Fixed Wash Basin or Lavatory in Unit

The wash basin must be permanently installed (i.e., a portable wash basin does not satisfy the requirement). Also, a kitchen sink used to pass the requirements under Part 2 of the checklist (kitchen facilities) cannot also serve as the bathroom wash basin. The wash basin may be located separate from the other bathroom facilities (e.g., in a hallway).

Not working means: the wash basin is not connected to a system that will deliver hot and cold running water; it is not connected to a properly operating drain; the connectors (or vents or traps) are faulty to the extent that severe leakage of water or escape of sewer gases occurs. If the water to the unit or the hot water unit has been turned off, check "Inconclusive." Obtain verification from owner or manager that the system is in working condition.

Comment to the right of the form if the wash basin is "present and working," but has the following types of minor defects: insufficient water pressure; dripping faucets; minor leaks; cracked or chipped porcelain; slow drain (see discussion above under 3.10).

3.12 Tub or Shower in Unit

Not present means that neither a tub nor shower is present in the unit. Again, these facilities need not be in the same room with the rest of the bathroom facilities. They must, however, be private.

Not working covers the same requirements detailed above for wash basin (3.11).

Comment to the right of the form if the tub or shower is present and working, but has the following types of defects: dripping faucet; minor leaks; cracked porcelain; slow drain (see discussion under 3.10); absent or broken support rod for shower curtain.

3.13 Ventilation

Working vent systems include: ventilation shafts (non-mechanical vents) and electric fans. Electric vent fans must function when switch is turned on. (Make sure that any malfunctions are not due to the fan not being plugged in.) If electric current to the unit has not been turned on (and there is no openable window), check "Inconclusive." Obtain verification from owner or manager that system works. Note: exhaust vents must be vented to the outside, attic, or crawlspace.

3. Bathroom

For each numbered item, check one box only.

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
3.1 Bathroom Present (See description)	Is there a bathroom?	<input type="checkbox"/>	<input type="checkbox"/>			
3.2 Electricity	Is there at least one permanently installed light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.3 Electrical Hazards	Is the bathroom free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.4 Security	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
3.5 Window Condition	Are all windows free of signs of deterioration or missing or broken out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
3.6 Ceiling Condition	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
3.7 Wall Condition	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
3.8 Floor Condition	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
3.9 Lead-Based Paint	Are all painted surfaces free of deteriorated paint? If no, does deteriorated surfaces exceed two square feet and/or more than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	
3.10 Flush Toilet in Enclosed Room in Unit	Is there a working toilet in the unit for the exclusive private use of the tenant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.11 Fixed Wash Basin or Lavatory in Unit	Is there a working, permanently installed wash basin with hot and cold running water in the unit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.12 Tub or Shower	Is there a working tub or shower with hot and cold running water in the unit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.13 Ventilation	Are there openable windows or a working vent system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

4. Other Room Used for Living and Halls

Complete an "Other Room" checklist for as many "other rooms used for living" as are present in the unit and not already noted in Parts 1, 2, and 3 of the checklist. See the discussion below for definition of "used for living." Also complete an "Other Room" checklist for all entrance halls, corridors, and staircases that are located within the unit and are part of the area used for living. If a hall, entry and/or stairway are contiguous, rate them as a whole (i.e., as part of one space).

Additional forms for rating "Other Rooms" are provided in the checklist.

Definition of "used for living." Rooms "used for living" are areas of the unit that are walked through or lived in on a regular basis. Do not include rooms or other areas that have been permanently, or near permanently, closed off or areas that are infrequently entered. For example, do not include a utility room, attached shed, attached closed-in porch, basement, or garage if they are closed off from the main living area or are infrequently entered. Do include any of these areas if they are frequently used (e.g., a finished basement/playroom, a closed-in porch that is used as a bedroom during summer months). Occasional use of a washer or dryer in an otherwise unused room does not constitute regular use.

If the unit is vacant and you do not know the eventual use of a particular room, complete an "Other Room" checklist if there is any chance that the room will be used on a regular basis. If there is no chance that the room will be used on a regular basis, do not include it (e.g., an unfinished basement) since it will be checked under Part 5, All Secondary Rooms (Rooms not used for living).

4.1 Room Code and Room Location

Enter the appropriate room code given below:

Room Codes:

- 1 = Bedroom or any other room used for sleeping (regardless of type of room)
- 2 = Dining Room or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom (also check presence of sink trap and clogged toilet)
- 6 = Other

Room Location: Write on the line provided the location of the room with respect to the unit's width, length and floor level as if you were standing outside the unit facing the entrance to the unit:

right/left/center: record whether the room is situated to the right, left, or center of the unit.

front/rear/center: record whether the room is situated to the back, front or center of the unit.

floor level: identify the floor level on which the room is located.

If the unit is vacant, you may have some difficulty predicting the eventual use of a room. Before giving any room a code of 1 (bedroom), the room must meet all of the requirements for a "room used for sleeping" (see items 4. 2 and 4.5).

4.2 - 4.9 Explanations of these items are the same as those provided for "Living Room" with the following modifications:

4.2 Electricity/Illumination

If the room code is not a "1," the room must have a means of natural or artificial illumination such as a permanent light fixture, wall outlet present, or light from a window in the room or near the room. If any required item is missing, check "Fail." If the electricity is turned off, check "Inconclusive."

4.5 Window Condition

Any room used for sleeping must have at least one window. If the windows in sleeping rooms are designed to be opened, at least one window must be openable. The minimum standards do not require a window in "other rooms." Therefore, if there is no window in another room not used for sleeping, check "Pass," and note "no window" in the area for comments.

4.6 Smoke Detectors

At least one battery-operated or hard-wired smoke detector must be present and working on each level of the unit, including the basement, but not the crawl spaces and unfinished attic.

Smoke detectors must be installed in accordance with and meet the requirements of the National Fire Protection Association Standard (NFPA) 74 (or its successor standards).

If the dwelling unit is occupied by any hearing-impaired person, smoke detectors must have an alarm system designed for hearing-impaired persons as specified in NFPA 74 (or successor standards).

If the unit was under HAP contract prior to April 24, 1993, owners who installed battery-operated or hard-wired smoke detectors in compliance with HUD's smoke detector requirements, including the regulations published on July 30, 1992 (57 FR 33846), will not be required subsequently to comply with any additional requirements mandated by NFPA 74 (i.e. the owner would not be required to install a smoke detector in a basement not used for living purposes, nor would the owner be required to change the location of the smoke detectors that have already been installed on the other floors of the unit). In this case, check "Pass" and note under comments.

Additional Notes

For staircases, the adequacy of light and condition of the stair rails and railings is covered under Part 8 of the checklist (General Health and Safety)

4. Other Rooms Used for Living and Halls For each numbered item, check one box only.

4.1 Room Location

_____ right/left/center: the room is situated to the right, left, or center of the unit.

_____ front/rear/center: the room is situated to the back, front or center of the unit.

_____ floor level: the floor level on which the room is located.

Room Code

- 1 = Bedroom or Any Other Room Used for Sleeping (regardless of type of room)
- 2 = Dining Room or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom (also check presence of sink trap and clogged toilet)
- 6 = Other:

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
4.2 Electricity/Illumination	If Room Code is a 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	If Room Code is not a 1, is there a means of illumination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3 Electrical Hazards	Is the room free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4 Security	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
4.5 Window Condition	If Room Code is a 1, is there at least one window?	<input type="checkbox"/>	<input type="checkbox"/>			
	And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken-out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
4.6 Ceiling Condition	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.7 Wall Condition	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.8 Floor Condition	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.9 Lead-Based Paint	Are all painted surfaces free of deteriorated paint?	<input type="checkbox"/>	<input type="checkbox"/>			
	If no, does deteriorated surfaces exceed two square feet and/or more than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	
4.10 Smoke Detectors	Is there a working smoke detector on each level?	<input type="checkbox"/>	<input type="checkbox"/>			
	Do the smoke detectors meet the requirements of NFPA 74?	<input type="checkbox"/>	<input type="checkbox"/>			
	In units occupied by the hearing impaired, is there an alarm system connected to the smoke detector?	<input type="checkbox"/>	<input type="checkbox"/>			

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

4. Supplemental for Other Rooms Used for Living and Halls For each numbered item, check one box only.

4.1 Room Location

_____ right/left/center: the room is situated to the right, left, or center of the unit.

_____ front/rear/center: the room is situated to the back, front or center of the unit.

_____ floor level: the floor level on which the room is located.

Room Code

- 1 = Bedroom or Any Other Room Used for Sleeping (regardless of type of room)
- 2 = Dining Room or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom (also check presence of sink trap and clogged toilet)
- 6 = Other:

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date of final approval
		Yes, Pass	No, Fail	Inconclusive		
4.2 Electricity/Illumination						
	If Room Code is a 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	If Room Code is not a 1, is there a means of illumination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3 Electrical Hazards						
	Is the room free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4 Security						
	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
4.5 Window Condition						
	If Room Code is a 1, is there at least one window?	<input type="checkbox"/>	<input type="checkbox"/>			
	And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken-out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
4.6 Ceiling Condition						
	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.7 Wall Condition						
	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.8 Floor Condition						
	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.9 Lead-Based Paint						
	Are all painted surfaces free of deteriorated paint?	<input type="checkbox"/>	<input type="checkbox"/>			
	If no, does deteriorated surfaces exceed two square feet and/or more than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not Applicable	
4.10 Smoke Detectors						
	Is there a working smoke detector on each level?	<input type="checkbox"/>	<input type="checkbox"/>			
	Do the smoke detectors meet the requirements of NFPA 74?	<input type="checkbox"/>	<input type="checkbox"/>			
	In units occupied by the hearing impaired, is there an alarm system connected to the smoke detector?	<input type="checkbox"/>	<input type="checkbox"/>			

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

4. Supplemental for Other Rooms Used for Living and Halls

For each numbered item, check one box only.

4.1 Room Location

Room Code

_____ right/left/center: the room is situated to the right, left, or center of the unit.

_____ front/rear/center: the room is situated to the back, front or center of the unit.

_____ floor level: the floor level on which the room is located.

- 1 = Bedroom or Any Other Room Used for Sleeping (regardless of type of room)
- 2 = Dining Room or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom (also check presence of sink trap and clogged toilet)
- 6 = Other:

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
4.2 Electricity/Illumination						
	If Room Code is a 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	If Room Code is not a 1, is there a means of illumination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3 Electrical Hazards						
	Is the room free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4 Security						
	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
4.5 Window Condition						
	If Room Code is a 1, is there at least one window?	<input type="checkbox"/>	<input type="checkbox"/>			
	And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken-out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
4.6 Ceiling Condition						
	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.7 Wall Condition						
	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.8 Floor Condition						
	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.9 Lead-Based Paint						
	Are all painted surfaces free of deteriorated paint?	<input type="checkbox"/>	<input type="checkbox"/>			
	If no, does deteriorated surfaces exceed two square feet and/or more than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	
4.10 Smoke Detectors						
	Is there a working smoke detector on each level?	<input type="checkbox"/>	<input type="checkbox"/>			
	Do the smoke detectors meet the requirements of NFPA 74?	<input type="checkbox"/>	<input type="checkbox"/>			
	In units occupied by the hearing impaired, is there an alarm system connected to the smoke detector?	<input type="checkbox"/>	<input type="checkbox"/>			

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

4. Supplemental for Other Rooms Used for Living and Halls

For each numbered item, check one box only.

4.1 Room Location

Room Code

_____ right/left/center: the room is situated to the right, left, or center of the unit.

_____ front/rear/center: the room is situated to the back, front or center of the unit.

_____ floor level: the floor level on which the room is located.

- 1 = Bedroom or Any Other Room Used for Sleeping (regardless of type of room)
- 2 = Dining Room or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom (also check presence of sink trap and clogged toilet)
- 6 = Other:

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
4.2 Electricity/Illumination						
	If Room Code is a 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	If Room Code is not a 1, is there a means of illumination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3 Electrical Hazards						
	Is the room free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4 Security						
	Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
4.5 Window Condition						
	If Room Code is a 1, is there at least one window?	<input type="checkbox"/>	<input type="checkbox"/>			
	And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken-out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
4.6 Ceiling Condition						
	Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.7 Wall Condition						
	Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.8 Floor Condition						
	Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.9 Lead-Based Paint						
	Are all painted surfaces free of deteriorated paint?	<input type="checkbox"/>	<input type="checkbox"/>			
	If no, does deteriorated surfaces exceed two square feet and/or more than 10% of a component?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	
4.10 Smoke Detectors						
	Is there a working smoke detector on each level?	<input type="checkbox"/>	<input type="checkbox"/>			
	Do the smoke detectors meet the requirements of NFPA 74?	<input type="checkbox"/>	<input type="checkbox"/>			
	In units occupied by the hearing impaired, is there an alarm system connected to the smoke detector?	<input type="checkbox"/>	<input type="checkbox"/>			

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

5. All Secondary Rooms (Rooms not used for living)

5. Secondary Rooms (Rooms not used for living)

If any room in the unit did not meet the requirements for "other room used for living" in Part 4, it is to be considered a "secondary room (not used for living)," Rate all of these rooms together (i.e., a single Part 5 checklist for all secondary rooms in the unit).

Inspection is required of the following two items since hazardous defects under these items could jeopardize the rest of the unit, even if present in rooms not used for living: 5.2 Security, 5.3 Electrical Hazards. Also, be observant of any other potentially hazardous features in these rooms and record under 5.4

5.1 None

If there are no "Secondary Rooms (rooms not used for living)," check "None" and go on to Part 6.

5.2 - 5.4 Explanations of these items is the same as those provided for "Living Room"

Additional Note

In recording "other potentially hazardous features," note (in the space provided) the means of access to the room with the hazard and check the box under "Inconclusive." Discuss the hazard with the HA inspection supervisor to determine "Pass" or "Fail." Include defects like: large holes in floor, walls or ceilings; evidence of structural collapse; windows in condition of severe deterioration; and deteriorated paint surfaces.

6. Building Exterior

6.1 Condition of Foundation

"Unsound or hazardous" means foundations with severe structural defects indicating the potential for structural collapse; or foundations that allow significant entry of ground water (for example, evidenced by flooding of basement).

6.2 Condition of Stairs, Rails, and Porches

"Unsound or hazardous" means: stairs, porches, balconies, or decks with severe structural defects; broken, rotting, or missing steps; absence of a handrail when there are extended lengths of steps (generally four or more consecutive steps); absence of or insecure railings around a porch or balcony which is approximately 30 inches or more above the ground.

6.3 Condition of Roof and Gutters

"Unsound and hazardous" means: The roof has serious defects such as serious buckling or sagging, indicating the potential of structural collapse; large holes or other defects that would result in significant air or water infiltration (in most cases severe exterior defects will be reflected in equally serious surface defects within the unit, e.g., buckling, water damage). The gutters, downspouts and soffits (area under the eaves) show serious decay and have allowed the entry of significant air or water into the interior of the structure. Gutters and downspouts are, however, not required to pass. If the roof is not observable and there is no sign of interior water damage, check "Pass."

6.4 Condition of Exterior Surfaces

See definition above for roof, item 6.3.

6.5 Condition of Chimney

The chimney should not be seriously leaning or showing evidence of significant disintegration (i.e., many missing bricks).

6.6 Lead-Based Paint: Exterior Surfaces

Housing Choice Voucher Units If the unit was built January 1, 1978 or after, no child under age six will occupy or currently occupies, is a 0-BR, elderly or handicapped unit with no children under age six on the lease or expected, has been certified lead-based paint free by a certified lead-based paint inspector (no lead-based paint present or no lead-based paint present after removal of lead), check NA and do not inspect painted surfaces. Visual assessment for deteriorated paint applies to all exterior painted surfaces (building components) associated with the assisted unit including windows, window sills, exterior walls, floors, porches, railings, doors, decks, stairs, play areas, garages, fences or other areas if frequented by children under age six. All deteriorated paint surfaces **more than 20 sq. ft. on exterior surfaces** must be stabilized (corrected) in accordance with all safe work practice requirements. **If the painted surface is less than 20 sq. ft., only stabilization is required. Clearance testing is not required.** Stabilization means removal of deteriorated paint, repair of the substrate, and application of a new protective coating or paint. Lead-Based Paint Owner Certification is required following stabilization activities except for *de minimis* level repairs.

6.7 Manufactured Homes: Tie Downs

Manufactured homes must be placed on a site in a stable manner and be free from hazards such as sliding and wind damage. Manufactured homes must be securely anchored by a tiedown device which distributes and transfers the loads imposed by the unit to appropriate ground anchors so as to resist wind overturning and sliding, unless a variation has been approved by the HUD Field Office.

5. All Secondary Rooms (Rooms not used for living) For each numbered item, check one box only.

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
5.1	None <input type="checkbox"/> Go to Part 6					
5.2	Security Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
5.3	Electrical Hazards Are all these rooms free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5.4	Other Potentially Hazardous Features Are all of these rooms free of any other potentially hazardous features? For each room with an "other potentially hazardous feature," explain the hazard and the means of control of interior access to the room.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.0 Building Exterior						
6.1	Condition of Foundation Is the foundation sound and free from hazards?	<input type="checkbox"/>	<input type="checkbox"/>			
6.2	Condition of Stairs, Rails, and Porches Are all the exterior stairs, rails, and porches sound and free from hazards?	<input type="checkbox"/>	<input type="checkbox"/>			
6.3	Condition of Roof and Gutters Are the roof, gutters, and downspouts sound and free from hazards?	<input type="checkbox"/>	<input type="checkbox"/>			
6.4	Condition of Exterior Surfaces Are exterior surfaces sound and free from hazards?	<input type="checkbox"/>	<input type="checkbox"/>			
6.5	Condition of Chimney Is the chimney sound and free from hazards?	<input type="checkbox"/>	<input type="checkbox"/>			
6.6	Lead-Based Paint: Exterior Surfaces Are all painted surfaces free of deteriorated paint? If no, does deteriorated surfaces exceed 20 sq. ft. of total exterior surface area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not Applicable	
6.7	Manufactured Homes: Tie Downs If the unit is a manufactured home, is it properly placed and tied down? If not a manufactured home, check "Not Applicable."	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not Applicable	

Additional Comments: (Give Item Number)(Use an additional page if necessary)

Comments continued on a separate page Yes ☐ No ☐

7. Heating and Plumbing

7.1 Adequacy of Heating Equipment

"Adequate heat" means that the heating system is capable of delivering enough heat to assure a healthy environment in the unit (appropriate to the climate). The HA is responsible for defining what constitutes a healthy living environment in the area of the country in which it operates. Local codes (city or state codes) should be instructive in arriving at a reasonable local definition. For example, for heat adequacy, local codes often require that the unit's heating facility be capable of maintaining a given temperature level during a designated time period. Portable electric room heaters or kitchen stoves or ranges with a built-in heat unit are not acceptable as a primary source of heat for units located in areas where climate conditions require regular heating.

"Directly or indirectly to all rooms used for living" means:

"directly" means that each room used for living has a heat source (e.g., working radiator; working hot air register; baseboard heat)

"indirectly" means that, if there is no heat source present in the room, heat can enter the room easily from a heated adjacent room (e.g. a dining room may not have a radiator, but would receive heat from the heated living room through a large open archway).

If the heating system in the unit works, but there is some question whether a room without a heat source would receive adequate indirect heat, check "Inconclusive" and verify adequacy from tenant or owner (e.g., unheated bedroom at the end of a long hallway).

How to determine the capability of the heating system: If the unit is occupied, usually the quickest way to determine the capability of the heating system over time is to question the tenant. If the unit is not occupied, or the tenant has not lived in the unit during the months when heat would be needed, check "Inclusive." It will be necessary to question the owner on this point after the inspection has been completed and, if possible, to question other tenants (if it is a multi-unit structure) about the adequacy of heat provided. Under some circumstances, the adequacy of heat can be determined by a simple comparison of the size of the heating system to the area to be heated. For example, a small permanently installed space heater in a living room is probably inadequate for heating anything larger than a relatively small apartment.

7.2 Safety of Heating Equipment

Examples of "unvented fuel burning space heaters" are: portable kerosene units; unvented open flame portable units.

"Other unsafe conditions" include: breakage or damage to heating system such that there is a potential for fire or other threats to safety; improper connection of flues allowing exhaust gases to enter the living area; improper installation of equipment (e.g., proximity of fuel tank to heat source, absence of safety devices); indications of improper use of equipment (e.g., evidence of heavy build-up of soot, creosote, or other substance in the chimney); disintegrating equipment; combustible materials near heat source or flue. See Inspection Manual for a more detailed discussion of the inspection of safety aspects of the heating systems.

If you are unable to gain access to the primary heating system in the unit check "Inconclusive." Contact the owner or manager for verification of safety of the system. If the system has passed a recent local inspection, check "Pass." This applies especially to units in which heat is provided by a large scale, complex central heating system that serves multiple units (e.g., a boiler in the basement of a large apartment building). In most cases, a large scale heating system for a multi-unit building will be subject to periodic safety inspections by a local public agency. Check with the owner or manager to determine the date and outcome of the last such inspection, or look for an inspection certificate posted on the heating system.

7.3 Ventilation and Adequacy of Cooling

If the tenant is present and has occupied the unit during the summer months, inquire about the adequacy of air flow. If the tenant is not present or has not occupied the unit during the summer months, test a sample of windows to see that they open (see Inspection Manual for instruction).

"Working cooling equipment" includes: central (fan) ventilation system; evaporative cooling system; room or central air conditioning.

Check "Inconclusive" if there are no openable windows and it is impossible, or inappropriate, to test whether a cooling system works. Check with other tenants in the building (in a multi-unit structure) and with the owner or manager for verification of the adequacy of ventilation and cooling.

7.4 Water Heater

"Location presents hazard" means that the gas or oil water heater is located in living areas or closets where safety hazards may exist (e.g., water heater located in very cluttered closet with cloth and paper items stacked against it). Gas water heaters in bedrooms or other living areas must have safety dividers or shields.

Water heaters must have a temperature-pressure relief valve and discharge line (directed toward the floor or outside of the living area) as a safeguard against build up of steam if the water heater malfunctions. If not, they are not properly equipped and shall fail.

To pass, gas or oil fired water heaters must be vented into a properly installed chimney or flue leading outside. Electric water heaters do not require venting.

If it is impossible to view the water heater, check "Inconclusive." Obtain verification of safety of system from owner or manager.

Check "Pass" if the water heater has passed a local inspection. This applies primarily to hot water that is supplied by a large scale complex water heating system that serves multiple units (e.g., water heating system in large apartment building). Check in the same manner described for heating system safety, item 7.2, above.

7.5 Water Supply

If the structure is connected to a city or town water system, check "Pass." If the structure has a private water supply (usually in rural areas) inquire into the nature of the supply (probably from the owner) and whether it is approvable by an appropriate public agency.

General note: If items 7.5, 7.6, or 7.7 are checked "Inconclusive," check with owner or manager for verification of adequacy.

7.6 Plumbing

"Major leaks" means that main water drain and feed pipes (often located in the basement) are seriously leaking. (Leaks present at specific facilities have already been evaluated under the checklist items for "Bathroom" and "Kitchen.")

"Corrosion" (causing serious and persistent levels of rust or contamination in the drinking water) can be determined by observing the color of the drinking water at several taps. Badly corroded pipes will produce noticeably brownish water. If the tenant is currently occupying the unit, he or she should be able to provide information about the persistence of this condition. (Make sure that the "rusty water" is not a temporary condition caused by city or town maintenance of main water lines.) See general note under 7.5.

7.7 Sewer Connection

If the structure is connected to the city or town sewer system, check "Pass." If the structure has its own private disposal system (e.g., septic field), inquire into the nature of the system and determine whether this type of system can meet appropriate health and safety regulations.

The following conditions constitute "evidence of sewer back up": strong sewer gas smell in the basement or outside of unit; numerous clogged or very slow drains; marshy areas outside of unit above septic field. See general note under 7.5.

7. Heating and Plumbing

For each numbered item, check one box only.

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
7.1 Adequacy of Heating Equipment	Is the heating equipment capable of providing adequate heat (either directly or indirectly) to all rooms used for living?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.2 Safety of Heating Equipment	Is the unit free from unvented fuel burning space heaters or any other types of unsafe heating conditions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.3 Ventilation and Adequacy of Cooling	Does the unit have adequate ventilation and cooling by means of openable windows or a working cooling system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.4 Water Heater	Is the water heater located, equipped, and installed in a safe manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.5 Water Supply	Is the unit served by an approvable public or private sanitary water supply?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.6 Plumbing	Is plumbing free from major leaks or corrosion that causes serious and persistent levels of rust or contamination of the drinking water?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.7 Sewer Connection	Is plumbing connected to an approvable public or private disposal system, and is it free from sewer back-up?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Additional Comments: (Give Item Number)

Comments continued on a separate page Yes ☐ No ☐

8. General Health and Safety

8.1 Access to Unit

“Through another unit” means that access to the unit is only possible by means of passage through another dwelling unit.

8.2 Exits

“Acceptable fire exit” means that the building must have an alternative means of exit that meets local or State regulations in case of fire; this could include:

An openable window if the unit is on the first floor or second floor or easily accessible to the ground.

A back door opening on to a porch with a stairway leading to the ground.

Fire escape, fire ladder, or fire stairs.

“Blocked” means that the exit is not useable due to conditions such as debris, storage, door or window nailed shut, broken lock.

Important note: The HA has the final responsibility for deciding whether the type of emergency exit is acceptable, although the tenant should assist in making the decision.

8.3 Evidence of Infestation

“Presence of rats, or severe infestation by mice or vermin” (such as roaches) is evidenced by: rat holes; droppings; rat runs; numerous settings of rat poison. If the unit is occupied, ask the tenant,

8.4 Garbage and Debris

“Heavy accumulation” means large piles of trash and garbage, discarded furniture, and other debris (not temporarily stored awaiting removal) that might harbor rodents. This may occur inside the unit, in common areas, or outside. It usually means a level of accumulation beyond the capacity of an individual to pick up within an hour or two.

8.5 Refuse Disposal

“Adequate covered facilities” includes: trash cans with covers, garbage chutes, “dumpsters” (i.e., large scale refuse boxes with lids); trash bags (if approvable by local public agency). “Approvable by local public agency” means that the local Health and Sanitation Department (city, town or county) approves the type of facility in use. Note: During the period when the HA is setting up its inspection program, it will check with the local health and sanitation department to determine which types of facilities are acceptable and include this in the inspection requirements.

If the unit is vacant and there are no adequate covered facilities present, check “Inconclusive.” Contact the owner or manager for verification of facilities provided when the unit is occupied.

8.6 Interior Stairs and Common Halls

“Loose, broken, or missing steps” should fail if they present a serious risk of tripping or falling.

A handrail is required on extended sections of stairs (generally four or more consecutive steps). A railing is required on unprotected heights such as around stairwells.

“Other hazards” would be conditions such as bare electrical wires and tripping hazards.

Housing Choice Voucher Units If the unit was built January 1, 1978, or after, no child under six will occupy or currently occupies it, is a 0-BR, elderly or handicapped unit with no children under six on the lease or expected, has been certified lead-based paint free by a certified lead-based paint inspector (no lead-based paint present or no lead-based paint present after removal of lead-based paint.), check NA and do not inspect painted surfaces.

This requirement applies to all painted surfaces (building components) within the unit. (Do not include tenant belongings). Surfaces to receive a visual assessment for deteriorated paint include walls, floors, ceilings, built in cabinets (sink bases), baseboards, doors, door frames, windows systems including

mullions, sills, or frames and any other painted building component within the unit. Deteriorated paint includes any painted surface that is peeling, chipping, chalking, cracking, damaged or otherwise separated from the substrate.

All deteriorated paint surfaces **more than 2 sq. ft. in any one interior room or space, or more than 10% of the total surface area of an interior type of component with a small surface area (i.e., window sills, baseboards, and trim)** must be stabilized (corrected) in accordance with all safe work practice requirements and clearance is required. **If the deteriorated painted surface is less than 2 sq. ft. or less than 10% of the component, only stabilization is required. Clearance testing is not required.** Stabilization means removal of deteriorated paint, repair of the substrate, and application of a new protective coating or paint. Lead-Based Paint Owner Certification is required following stabilization activities, except for *de minimis* level repairs.

8.7 Other Interior Hazards

Examples of other hazards might be: a broken bathroom fixture with a sharp edge in a location where it represents a hazard; a protruding nail in a doorway.

8.8 Elevators

Note: At the time the HA is setting up its inspection program, it will determine local licensing practices for elevators. Inspectors should then be aware of these practices in evaluating this item (e.g., check inspection date). If no elevator check “Not Applicable.”

8.9 Interior Air Quality

If the inspector has any questions about whether an existing poor air quality condition should be considered dangerous, he or she should check with the local Health and Safety Department (city, town or county).

8.10 Site and Neighborhood Conditions

Examples of conditions that would “seriously and continuously endanger the health or safety of the residents” are:

other buildings on, or near the property, that pose serious hazards (e.g., dilapidated shed or garage with potential for structural collapse),
evidence of flooding or major drainage problems,
evidence of mud slides or large land settlement or collapse,
proximity to open sewage,
unprotected heights (cliffs, quarries, mines, sandpits),
fire hazards,
abnormal air pollution or smoke which continues throughout the year and is determined to seriously endanger health, and
continuous or excessive vibration of vehicular traffic (if the unit is occupied, ask the tenant).

8.11 Lead-Based Paint: Owner Certification

If the owner is required to correct any lead-based paint hazards at the property including deteriorated paint or other hazards identified by a visual assessor, a certified lead-based paint risk assessor, or certified lead-based paint inspector, the PHA must obtain certification that the work has been done in accordance with all applicable requirements of 24 CFR Part 35. The Lead-Based Paint Owner Certification must be received by the PHA before the execution of the HAP contract or within the time period stated by the PHA in the owner HQS violation notice. Receipt of the completed and signed Lead-Based Paint Owner Certification signifies that all HQS lead-based paint requirements have been met and no re-inspection by the HQS inspector is required.

8. General Health and Safety

For each numbered item, check one box only.

Item No.	Description	Decision			If Fail, what repairs are necessary? If Inconclusive, give details. If Pass with comments, give details.	If Fail or Inconclusive, date (mm/dd/yyyy) of final approval
		Yes, Pass	No, Fail	Inconclusive		
8.1 Access to Unit	Can the unit be entered without having to go through another unit?	<input type="checkbox"/>	<input type="checkbox"/>			
8.2 Exits	Is there an acceptable fire exit from this building that is not blocked?	<input type="checkbox"/>	<input type="checkbox"/>			
8.3 Evidence of Infestation	Is the unit free from rats or severe infestation by mice or vermin?	<input type="checkbox"/>	<input type="checkbox"/>			
8.4 Garbage and Debris	Is the unit free from heavy accumulation of garbage or debris inside and outside?	<input type="checkbox"/>	<input type="checkbox"/>			
8.5 Refuse Disposal	Are there adequate covered facilities for temporary storage and disposal of food wastes, and are they approvable by a local agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.6 Interior Stairs and Common Halls	Are interior stairs and common halls free from hazards to the occupant because of loose, broken, or missing steps on stairways; absent or insecure railings; inadequate lighting; or other hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.7 Other Interior Hazards	Is the interior of the unit free from any other hazard not specifically identified previously?	<input type="checkbox"/>	<input type="checkbox"/>			
8.8 Elevators	Where local practice requires, do all elevators have a current inspection certificate? If local practice does not require this, are they working and safe?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Not Applicable	
8.9 Interior Air Quality	Is the unit free from abnormally high levels of air pollution from vehicular exhaust, sewer gas, fuel gas, dust, or other pollutants?	<input type="checkbox"/>	<input type="checkbox"/>			
8.10 Site and Neighborhood Conditions	Are the site and immediate neighborhood free from conditions which would seriously and continuously endanger the health or safety of the residents?	<input type="checkbox"/>	<input type="checkbox"/>			
8.11 Lead-Based Paint: Owner Certification	If the owner of the unit is required to correct any deteriorated paint or lead-based paint hazards at the property, has the Lead-Based Paint Owner's Certification been completed, and received by the PHA? If the owner was not required to correct any deteriorated paint or lead-based paint hazards, check NA.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Not Applicable	

Additional Comments: (Give Item Number)

Comments continued on a separate page Yes ☐ No ☐

Special Amenities (Optional)

This Section is for optional use of the HA. It is designed to collect additional information about other positive features of the unit that may be present. Although the features listed below are not included in the Housing Quality Standards, the tenant and HA may wish to take them into consideration in decisions about renting the unit and the reasonableness of the rent.

Check/list any positive features found in relation to the unit.

1. Living Room

- ☐ High quality floors or wall coverings
- ☐ Working fireplace or stove
- ☐ Balcony, patio, deck, porch
- ☐ Special windows or doors
- ☐ Exceptional size relative to needs of family
- ☐ Other: (Specify)

2. Kitchen

- ☐ Dishwasher
- ☐ Separate freezer
- ☐ Garbage disposal
- ☐ Eating counter/breakfast nook
- ☐ Pantry or abundant shelving or cabinets
- ☐ Double oven/self cleaning oven, microwave
- ☐ Double sink
- ☐ High quality cabinets
- ☐ Abundant counter-top space
- ☐ Modern appliance(s)
- ☐ Exceptional size relative to needs of family
- ☐ Other: (Specify)

3. Other Rooms Used for Living

- ☐ High quality floors or wall coverings
- ☐ Working fireplace or stove
- ☐ Balcony, patio, deck, porch
- ☐ Special windows or doors
- ☐ Exceptional size relative to needs of family
- ☐ Other: (Specify)

4. Bath

- ☐ Special feature shower head
- ☐ Built-in heat lamp
- ☐ Large mirrors
- ☐ Glass door on shower/tub
- ☐ Separate dressing room
- ☐ Double sink or special lavatory
- ☐ Exceptional size relative to needs of family
- ☐ Other: (Specify)

5. Overall Characteristics

- ☐ Storm windows and doors
- ☐ Other forms of weatherization (e.g., insulation, weather stripping)
- ☐ Screen doors or windows
- ☐ Good upkeep of grounds (i.e., site cleanliness, landscaping, condition of lawn)
- ☐ Garage or parking facilities
- ☐ Driveway
- ☐ Large yard
- ☐ Good maintenance of building exterior
- ☐ Other: (Specify)

6. Disabled Accessibility

Unit is accessible to a particular disability. ☐ Yes ☐ No

Disability _____

D. Questions to ask the Tenant (Optional)

1. Does the owner make repairs when asked? Yes ☐ No ☐
2. How many people live there? _____
3. How much money do you pay to the owner/agent for rent? \$ _____
4. Do you pay for anything else? (specify) _____
5. Who owns the range and refrigerator? (insert O = Owner or T = Tenant) Range _____ Refrigerator _____ Microwave _____
6. Is there anything else you want to tell us? (specify) _____

Provide a summary description of each item which resulted in a rating of **Fail** or **Pass with Comments**.

Tenant ID No.	Inspector	Date of Inspection	Address of Inspected Unit
Type of Inspection <input type="checkbox"/> Initial <input type="checkbox"/> Special <input type="checkbox"/> Reinspection			
Item Number	Reason for "Fail" or "Pass with Comments" Rating		

Comments continued on a separate page Yes ☐ No ☐