



Henrico County, Virginia

2016-2017



Annual Consolidated Community Development Action Plan

Department of Community Revitalization
July 2016; Amended April 25, 2017

Acknowledgements

The 2016-17 Annual Action was prepared by the County of Henrico Department of Community Revitalization, Division of Community Development.

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Preface

The 2016-2017 *Consolidated Annual Action Plan* is submitted electronically to the United States Department of Housing and Urban Development (HUD) through the on-line Integrated Disbursement and Information System (IDIS). This document is an exported and reformatted version of that submission. Questions about this document may be directed to the Henrico County Department of Community Revitalization in the following manner:

- In person at 4062 Crockett Street, Henrico, VA 23228, between the hours of 8:00 a.m. and 4:30 p.m.
- By email at revitalization@henrico.us
- By telephone at (804) 501-7617

County of Henrico
Department of Community Revitalization
June, 2016; April 2017

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

1. Introduction

Henrico County is approximately two-hundred forty-four (244) square miles in area and is located in the central portion of the Commonwealth of Virginia. The county is bordered to the south/southeast by the James River and the City of Richmond, which separates Henrico from Chesterfield County. New Kent and Charles City Counties lie to the east. Tuckahoe Creek, to the west, defines Henrico's boundary with Goochland County, and the Chickahominy River to the north forms the boundary with Hanover County.

The County has excellent regional connections; it is accessible from Interstate 64, Interstate 95, Interstate 295, Route 895 (Pocahontas Pkwy), and the James River. It is the home of the Richmond International Airport, the primary airport for the Richmond metropolitan area. It also has a station along the Amtrak line, connecting Henrico with cities up and down the East Coast.

In the 20th Century, Henrico County grew from an area of rural agriculture to a thriving suburban community generally capturing more growth than the City of Richmond. Similar to the growth trends of the nation, the county experienced its most significant growth in the period following World War II, and has continued to experience steady growth to the present day.

Through the 1990s and into the new millennium, Henrico County has maintained its character as a desirable place to live and work. It has experienced steady and positive growth in population and business while still maintaining urban, suburban, and rural qualities. These diverse characteristics, along with the county's location, quality public services, and other amenities have contributed to Henrico's success over time.

Henrico County is an entitlement jurisdiction eligible to receive direct federal assistance from the US Department of Housing and Urban Development (HUD), and as such receives Community Development Block Grant (CDBG), HOME Investment Partnerships Program, and Emergency Solutions Grant (ESG) funds. A requirement of accepting these funds is the preparation of a Five-Year Consolidated Plan, which identifies the County's needs for affordable housing and community development, and an Annual Action Plan, which outlines how the County will use federal funds each year to address the needs of County residents. The County of Henrico's *2015-2020 Five Year Consolidated Community Development Plan* covers a five year period from October 1, 2015 through September 30, 2020.

This Annual Action Plan covers year two of the Consolidated Plan and identifies the activities to be undertaken during the year beginning October 1, 2016. The Annual Action Plan is the formal application to HUD for the PY 2016-17 entitlement funds administered by the County of Henrico Department of Community Revitalization.

Sources of funds for PY 2016-17 are as follows:

2016-17 CDBG Entitlement Grant \$1,538,617

2016-17 HOME Entitlement Grant \$654,655

2016-17 ESG Entitlement Grant \$141,855

CDBG Funds Brought Forward \$149,479

HOME Funds Program Income \$67,070

HOME Funds Brought Forward \$52,693

Total Funds \$2,604,369

As authorized by the County of Henrico Board of Supervisors on June 28, 2016, and as described in this Plan, CDBG, HOME, and ESG funds have been allocated to eighteen projects. The Board of Supervisors' resolution authorizing the submission of this plan and an itemization of the projects and amounts allocated can be found in Appendix A.

This Action Plan was amended during 2016-17 to add funding to incorporate funds carried forward from PY 15-16.

2. Summarize the objectives and outcomes identified in the Plan

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

Section AP-20 of this document provides the goals that guide the expenditure of CDBG, HOME, and ESG funds for the 2016-17 Action Plan. Nine goals are identified and listed below. Complete descriptions of the goals can be found in Section AP-20.

- Rehabilitation of Existing Housing
- Increase Affordable Homeownership Opportunities
- Support Housing for Special Needs Populations
- Revitalize Older Commercial Corridors
- Prevent Homelessness
- Assist Homeless Families in Obtaining Housing
- Emergency Shelter and Supportive Services
- Improvements to Low- and Moderate-Income Areas
- Provide Public Services for Low- and Moderate-Income Populations

The objectives for the 2016-17 Annual Action Plan are listed below along with the projected outcomes. Expected outcomes for the five-year plan are in parenthesis.

- Rehabilitation or minor repair of 64 (240) housing units for low- and moderate-income elderly and/or disabled homeowners thereby retaining the affordable housing stock and increasing the supply of supportive housing.

- Rehabilitation for sale or new construction of 2 (9) housing units for low- and moderate-income homeowners, thereby increasing the availability of affordable permanent housing.
- Provision of downpayment and closing cost assistance to 16 (50) low- and moderate-income first-time homebuyers, thereby increasing the supply of affordable housing to low-income and moderate-income individuals.
- Provision of after-school educational and tutoring activities, counseling, and preventative activities for 150 (750) children living in subsidized housing, thereby improving the safety and livability of neighborhoods.
- Provision of technical assistance to businesses within the County's Enterprise Zone, thereby providing job creation and retention, and the establishment, stabilization and expansion of small businesses. At least six (27) jobs, available to low-or moderate-income persons, will be created.
- Provision of facade improvement grants to encourage investment in properties in the older commercial corridors of the County, thereby providing job creation and retention. At least one (6) jobs, available to low- or moderate-income persons, will be created.
- Provision of design assistance grants to encourage investment in properties in the older commercial corridors of the County, thereby providing job creation and retention. At least one (3) jobs, available to a low- or moderate-income persons, will be created.
- Provision of home maintenance education to 120 (250) homeowners, the majority of whom are low-income.
- Provision of fair housing outreach to 75 Henrico County residents.
- Provision of financial education services to 45 Henrico County residents.
- Provision of funds to provide permanent supportive housing to 4 (5) Henrico County residents who have experienced homelessness.
- Provision of infrastructure improvements in low-income areas benefitting approximately 3200 (2500) households.
- Provision of preventative services to 858 (3250) families/individuals facing homelessness.
- Provision of services to rapidly rehouse 9 (90) families who have experienced homelessness.
- Provision of services and/or shelter to 135 (485) families who have experienced homelessness.

3. Evaluation of past performance

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

The Consolidated Annual Performance and Evaluation Report (CAPER) described the County's performance relative to the goals established in the Five-Year Consolidated Plan. The following is a summary of the accomplishments for the program year ending September 30, 2015 as described in the PY 2014-15 Performance Report. During PY 2014-15, the County continued to provide and improve housing opportunities for low- and moderate-income individuals, support affordable housing, provide services and opportunities to low- and moderate-income individuals and families, and serve persons who were homeless or at risk of homelessness.

Summary of PY 2014-15 Accomplishments:

- Down payment and closing cost assistance through SCDHC to enable homeownership for low-income first-time homebuyers. Funding was provided for eight homebuyers; four homebuyers were assisted.
- Down payment and closing cost assistance through HOME Inc. to enable homeownership for low-income first-time homebuyers. Funding was provided for eight homebuyers; six homebuyers were assisted.
- Acquisition and rehabilitation of homes for purchase by low- or moderate-income families through Better Housing Coalition and Southside Community Development and Housing Corporation CHDO Rehab for Sale. One vacant house was transferred during PY 2014-2015 from a state-wide non-profit to Better Housing Coalition and pre-development is underway. Construction was completed on two homes and sold to first-time homebuyers; one through Southside Community Development and Housing Corporation and one through Better Housing Coalition.
- Rehabilitation of houses owned by low/moderate-income elderly and/or disabled residents through project:HOMES. Funding was provided in PY14 for nine projects; 13 were completed.
- Emergency and minor repairs to homes owned by low/moderate-income residents through project: HOMES. Funding was provided for 55 emergency and minor repair projects; 51 repairs were completed.
- After-school substance abuse and violence prevention program through the CONNECT Program for at-risk youth and their parents residing in 13 low-income communities. Served 119 students throughout the program year.
- Installation of new HVAC system in Cottage 2 at St. Joseph's Villa. Work at the site was completed by Sept. 2014.
- Completion of the ARCPark, a park for children and adults of all ages and all abilities. CDBG funds were spent on design of this park in PY13. The park was completed and put into service in PY 2014-2015.
- Commercial Assistance Program provided assistance to businesses serving low-income areas and developed employment for low/mod-income persons. During PY14, 244 instances of technical assistance were provided to businesses. 11 new jobs (8 FTEs) were documented directly related to PY14 expenditures.
- The 2014-15 Action Plan provided additional funding for Façade Grants to encourage investment in properties in older commercial corridors and generate permanent jobs. In PY14 two grants were completed and two jobs were created as a result of the program year expenditures.
- The ESG program served 31 households/persons through homeless prevention services for a cost of \$17,000, 63 households/persons through rapid re-housing services for a cost of \$77,744 and 68 persons through case management and shelter services for a cost of \$20,000Henrico County consistently meets the required CDBG spend rate.

The 2014-15 spend rate was calculated at 0.73. As of May 2016, the 2015-16 spend rate was calculated at 0.95.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

Over the course of the year, County CDBG/HOME/ESG staff continually met with current subrecipients, representatives of County agencies, and other community service providers (including the Continuum of Care) to understand the needs of the community, to make adjustments to existing programs, and to develop goals and specific objectives for the upcoming annual plan. Specific consultations are outlined in Section AP-10.

Henrico County conducted two public hearings, one on February 29, 2016 and one with the County Board of Supervisors on June 28, 2016. Opportunities for public input also included attendance by staff at neighborhood and business association meetings as well as consultations with County agencies and non-profit service providers.

Advertising of public hearings and opportunities for public input included the following:

- Newspaper advertisement in the *Richmond Times-Dispatch*
- Direct emailing to Community Revitalization email list
- Notices on County website, Facebook page, and Twitter feed
- Press release
- Staff attendance at community and neighborhood association meetings

5. Summary of public comments

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

Comments received concerned the County's efforts towards assisting those with homelessness, increasing maintenance of public infrastructure and private property, improving citizen awareness of public meetings, and availability of recreation areas in the eastern part of the County.

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

All comments received were accepted and considered in the formulation of the 2016-17 Annual Action Plan.

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

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

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

Agency Role	Name	Department/Agency
Lead Agency	HENRICO COUNTY	
CDBG Administrator	HENRICO COUNTY	Department of Community Revitalization
HOPWA Administrator		
HOME Administrator	HENRICO COUNTY	Department of Community Revitalization
ESG Administrator	HENRICO COUNTY	Department of Community Revitalization
HOPWA-C Administrator		

Table 1 – Responsible Agencies

Narrative (optional)

The Henrico County Department of Community Revitalization is responsible for the administration of these federal funds.

Consolidated Plan Public Contact Information

Citizens may view the Plan or share comments at the Henrico County Department of Community Revitalization at 4062 Crockett Street, Henrico, Virginia during normal business hours. The Plan can also be viewed online at www.henrico.us/revit. Online access is available at all County libraries. Additional information can be received from, and comments provided to, the Department of Community Revitalization at 804-501-7640 or by email at revitalization@henrico.us.

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

1. Introduction

Throughout the year, CDBG, HOME, and ESG staff met with local agencies and groups. These meetings are intended to maintain a current understanding of the housing, community development, and public service needs of low- and moderate-income County residents and to identify opportunities for funding in upcoming program years and funding adjustments in the current year. Listed in table 2 and discussed below are some of the meetings undertaken by staff as part of an ongoing dialog to discuss the needs of the County's citizens in preparation of the 2016 Annual Action Plan.

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

Staff in the Department of Community Revitalization meet regularly throughout the year with a variety of organizations involved in the provision or maintenance of housing for low- and moderate-income citizens, as well as County and non-County agencies providing other services to low- and moderate-income citizens. These discussions are designed to identify specific community needs and implement strategies for program enhancement. The Continuum of Care Ranking Committee was formally consulted before developing ESG funding recommendations. Individual ESG providers were also consulted.

The Department of Community Revitalization convenes a monthly meeting of a multi-disciplinary task force that addresses housing and social service needs of County residents. County agencies represented on this task force include: Police, Social Services, Fire, Building Inspections, Mental Health, Community Development, Community Maintenance, and Henrico County Public Schools.

In addition to meeting with individual organizations and other County Departments, staff also consults regularly in formal and informal settings with Community Development staff from surrounding jurisdictions and meets bi-monthly with an organization of area non-profit housing providers. This group includes CHDO's, CDFI's, CBDO's and other community development corporations.

Agencies consulted are listed in Table 2.

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

Staff from the Henrico County Manager's Office represents the County and serves as a voting member of the Continuum of Care Board (CoC). The Department of Community Revitalization is represented on the CoC Ranking Committee. This panel of community stakeholders is convened at least annually to review and assess funding requests for the HUD Continuum of Care Program. The Ranking Committee meets to review applications and to determine how effective the proposed work is in addressing community priorities and needs. A presentation of requests for Henrico ESG funding took place with the Ranking Committee on March 11, 2016. The Committee provided recommendations for funding organizations with Henrico County ESG Entitlement funds. Allocations of ESG funds as described in this Plan, was based substantially on recommendations from the CoC Ranking Committee in an effort to coordinate with other related funds allocated by the CoC.

In both 2014-15 and 2015-16, mid-year allocation adjustments of ESG funds were undertaken to more effectively serve the needs of Henrico homeless and at risk for homeless households. Prior to implementing the adjustments, consultations were undertaken with CoC staff.

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

Formal consultation occurred with the CoC Ranking Committee as described above and prior to that with CoC staff. Through representation on the CoC Board, Henrico County staff participates in evaluation and oversight of all CoC funded programs. Through participation on the Ranking Committee, allocations of all HESG, State ESG funds, and other HUD funds are evaluated in a coordinated fashion with inclusion of Henrico County and other local government staff.

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

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	HOME INC
	Agency/Group/Organization Type	Housing Service-Fair Housing Regional organization
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year with key program staff. Program adjustments occurred as needed based on consultations and identification of issues and needs. As a result of consultations an Action Plan amendment was undertaken to provide additional funds for homeownership assistance.
2	Agency/Group/Organization	Project Homes
	Agency/Group/Organization Type	Housing Services - Housing Services-Elderly Persons Services-Persons with Disabilities Regional organization
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year. Program adjustments occurred as needed based on consultations and identification of issues and needs.
3	Agency/Group/Organization	Better Housing Coalition
	Agency/Group/Organization Type	Housing Regional organization
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Agency was consulted on strategies to provide affordable housing for homeowners and strategies for addressing community revitalization through rehabilitation of vacant housing as a CHDO and opportunities for providing affordable rental housing for seniors. As a result of the consultations, Better Housing Coalition announced that they had made the business decision to no longer participate in the development of single-family affordable housing in the manner needed by Henrico County.

4	Agency/Group/Organization	SOUTHSIDE COMMUNITY DEVELOPMENT AND HOUSING CORPORATION
	Agency/Group/Organization Type	Housing Services - Housing Regional organization
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year. Program adjustments occurred as needed based on consultations and identification of issues and need for improvement.
5	Agency/Group/Organization	Richmond Metropolitan Habitat for Humanity
	Agency/Group/Organization Type	Housing Services - Housing Services-Education Regional organization
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year. Consultations occurred for the design of the continuation of the outreach and educational programs for homeowners into PY 2016-17.
6	Agency/Group/Organization	Housing Families First
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Victims of Domestic Violence Services-homeless Services-Employment Regional organization
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Strategy Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year. Program adjustments occurred as needed based on consultations and identification of issues and need for improvement.

7	Agency/Group/Organization	Virginia Supportive Housing
	Agency/Group/Organization Type	Housing Services - Housing Services-Persons with Disabilities Services-homeless Regional organization
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Various coordination meetings occurred throughout the program year. As a result of consultations, VSH was provided initial funding in PY 2015-16 for a permanent supportive housing facility, with additional funding recommended for PY 2016-17.
8	Agency/Group/Organization	HOMEWARD
	Agency/Group/Organization Type	Housing Services - Housing Services-homeless Regional organization
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions with staff, Board, and Review Committee on regional approaches to homelessness and most effective opportunities for Henrico County to participate with ESG funds.
9	Agency/Group/Organization	CARITAS
	Agency/Group/Organization Type	Services-Persons with Disabilities Services-homeless Regional organization
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Strategy Projects

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year.
10	Agency/Group/Organization	Henrico County Dept. of Recreation and Parks
	Agency/Group/Organization Type	Other government - Local Grantee Department
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussed recreation needs in low-income areas of the County.
11	Agency/Group/Organization	ST. JOSEPH'S VILLA
	Agency/Group/Organization Type	Services-Children Services-Persons with Disabilities Services-Victims of Domestic Violence Services-homeless Services-Education Child Welfare Agency Regional organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Strategy Non-Homeless Special Needs Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year. Program adjustments occurred as needed based on consultations and identification of issues and need for improvement. Consultations were held to discuss regional homeless needs and rapid rehousing strategies.

12	Agency/Group/Organization	Henrico County Dept. of Social Services
	Agency/Group/Organization Type	Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services - Victims Child Welfare Agency Other government - Local Grantee Department
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Strategy Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	As a currently funded agency, regular status updates and coordination meetings occurred throughout the program year. Program adjustments occurred as needed based on consultations and identification of issues and need for improvement.
13	Agency/Group/Organization	Henrico County Dept. of Building Inspections
	Agency/Group/Organization Type	Housing Other government - Local Grantee Department
	What section of the Plan was addressed by Consultation?	Housing Need Assessment projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions of housing needs and conditions, opportunities to assist low- and moderate-income persons and address housing quality standards. Staff from the Department of Building Inspections participate in the monthly Resource Team meeting.
14	Agency/Group/Organization	Henrico County Dept. of Community Revitalization
	Agency/Group/Organization Type	Housing Services-Elderly Persons Services-Persons with Disabilities Community Maintenance Grantee Department
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Non-Homeless Special Needs Projects

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Formal meetings are held monthly to identify specific citizen and housing needs and identify solutions. Cooperative housing improvement programs were implemented with this agency, non-profits, and volunteer groups to address housing needs.
15	Agency/Group/Organization	Henrico Area Mental Health and Developmental Services
	Agency/Group/Organization Type	Services-Children Services-Persons with Disabilities Services-Health Services-Education Health Agency Other government - Local Regional organization Grantee Department
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Non-Homeless Special Needs Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussion of housing choice voucher program and clients served, clients needs relating to housing, mentoring and tutoring services to children in subsidized housing.
16	Agency/Group/Organization	Henrico County Public Schools
	Agency/Group/Organization Type	Services-Children Services-Education Other government - County Grantee Department
	What section of the Plan was addressed by Consultation?	Homeless Needs - Families with children Homelessness Needs - Unaccompanied youth
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions with HCPS to address needs of homeless students. Staff from the HCPS participate in the monthly Resource Team meeting.
17	Agency/Group/Organization	Virginia Department of Housing and Community Development
	Agency/Group/Organization Type	Housing Other government - State
	What section of the Plan was addressed by Consultation?	Economic Development

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Virginia Department of Housing and Community Development (DHCD) staff are consulted as part of modifications to the Enterprise Zone boundaries and incentives. Enterprise Zone inclusion is used by businesses to facilitate expansion and the creation of jobs for low/mod individuals. Modifications to the Enterprise Zone boundary must be approved by DHCD.
18	Agency/Group/Organization	City of Richmond Economic and Community Development
	Agency/Group/Organization Type	Other government - Local
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Strategy Non-Homeless Special Needs Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Richmond Economic and Community Development staff are consulted on opportunities for Enterprise Zone expansion as well as opportunities for collaborative support for regional CDBG, HOME, ESG projects.
19	Agency/Group/Organization	CHESTERFIELD COUNTY
	Agency/Group/Organization Type	Other government - County
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Chesterfield County staff was consulted as part of discussions for joint funding for a permanent supportive housing facility and support for a regional facility providing services to special needs children. One or more of these facilities (not located in Chesterfield) will be provided funding through Chesterfield County.
20	Agency/Group/Organization	Local Initiatives Support Corporation (LISC)
	Agency/Group/Organization Type	Regional organization Technical Assistance Private Sector Banking / Financing
	What section of the Plan was addressed by Consultation?	Projects

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted regarding a request for funding for a new financial opportunity center. The FOC was recommended for funding for one year.
21	Agency/Group/Organization	Henrico County Economic Development Authority
	Agency/Group/Organization Type	Other government - Local Grantee Department
	What section of the Plan was addressed by Consultation?	Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions with the EDA occur throughout the year regarding Enterprise Zone activities and economic development within the County. As a result of consultations additional business areas in the county were added to the Enterprise Zone to help facilitate employment opportunities for low and moderate income residents.
22	Agency/Group/Organization	Henrico County Planning Department
	Agency/Group/Organization Type	Other government - Local Planning organization Grantee Department
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Market Analysis
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions throughout the year regarding revitalization efforts in the County, planning needs, and demographics.
23	Agency/Group/Organization	Henrico County Dept. of Public Utilities
	Agency/Group/Organization Type	Other government - Local Grantee Department
	What section of the Plan was addressed by Consultation?	Infrastructure needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions of specific housing-related needs of low- and moderate-income homeowners. Discussions of infrastructure needs in low-income areas, including street lighting and provision of dumpsters for clean ups. Funding for additional streetlights in low-income areas is recommended in the PY 2016-17 budget.

24	Agency/Group/Organization	Presbyterian Homes and Family Services, Inc. dba HumanKind
	Agency/Group/Organization Type	Services-Education Regional organization
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussion of needs of low-income residents particularly those living in subsidized housing and opportunities to provide financial education.
25	Agency/Group/Organization	Trinity Village Center
	Agency/Group/Organization Type	Services-Children Services-Education Regional organization
	What section of the Plan was addressed by Consultation?	Homelessness Needs - Unaccompanied youth Homelessness Strategy Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Opportunities to serve children aging out of foster care and low-income children in child care center.
26	Agency/Group/Organization	County of Henrico Dept. of Public Works
	Agency/Group/Organization Type	Other government - Local Grantee Department
	What section of the Plan was addressed by Consultation?	Projects
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Discussions of infrastructure needs in low-income areas.

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

Any agency not consulted had the opportunity to provide comments at two public hearings or directly with staff.

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Homeward	Both include the goal of addressing homelessness and identifying needs.

Table 3 – Other local / regional / federal planning efforts

Narrative (optional)

County CDBG, HOME and ESG staff, as noted in the funding application and notice of funding availability, are available for consultation and assistance. Technical assistance for agencies seeking funding for PY 2016-17 was provided primarily to organizations not previously funded.

Input also included direct input from Board members and County administrators. All five Board members are regularly consulted to provide input on programs and priorities for each year's Annual Action Plan.

AP-12 Participation – 91.105, 91.200(c)

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

Two public hearings were held to gather citizen input on the 2016-17 Annual Action Plan. The first, a needs public hearing, was held on February 29, 2016. The second meeting, a public hearing with the Board of Supervisors was held on June 28, 2016. The meetings were both advertised in the *Richmond Times-Dispatch* in accordance with the Citizen Participation Plan. A press release was issued to local news media organizations. Notice of the meeting was posted on the County's calendar, facebook page, Twitter feed, and Department of Community Revitalization webpage. The meeting was also posted on the Henrico Citizen online community calendar along with a short meeting notice. Notice of the meeting was sent directly to citizens who have signed up for the Department's email list.

Citizen comments were taken into consideration when preparing the 2016-17 Action Plan.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Newspaper Ad	Non-targeted/ broad community	No comments were received by phone, email, or letter to the January 29, 2016 newspaper advertisement.			
2	Public Hearing	Non-targeted/broad community	Three citizens attended the public needs hearing at the Libbie Mill Library.	Comments received related to need for assisting homeless population, increased maintenance on roadways and private property, and increased parks and/or playgrounds in the eastern part of the County.	All comments were accepted.	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
3	Internet Outreach	Non-targeted/broad community	Internet outreach included posting on Facebook, community calendars, and Twitter.	No comments were received on these platforms.		
4	Press release	Non-targeted/broad community		No comments were received in relation to the press release for the February 29 public hearing.		
5	Email	Email list	An email was sent to approximately 110 individuals/organizations on the Department's email list.	No comments were received in response to this outreach.		
6	Newspaper Ad	Non-targeted/broad community	An ad was placed in the Richmond Times-Dispatch on May 28, 2016 notifying citizens and stakeholders of the public hearing with the Board of Supervisors.	Add comments later.		

Table 4 – Citizen Participation Outreach

Expected Resources

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

Introduction

HOME funding has increased slightly during the previous Consolidated Plan period and anticipate level funding for the remainder of the plan. ESG funding has increased slightly during this program year and anticipated five percent increase in future program years. However, this plan anticipates continued funding at slightly increased rates for the term of this plan. CDBG funding, despite cuts in the overall program funding nationally, has remained reasonably consistent for Henrico County for the last few years. This plan anticipates funding will decrease five percent per program year.

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	1,538,617	0	149,479	1,688,096	4,169,458	The projected amount for the remainder of the Con Plan is based on an assumption that CDBG funding levels will remain the same.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	654,655	67,070	52,693	774,418	1,962,285	The projected amount for the remainder of the Con Plan is based on an assumption that HOME funding levels will decrease 5% each year.
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	141,855	0	0	141,855	469,556	The projected amount for the remainder of the Con Plan is based on an assumption that ESG funding levels will increase 5% each year.

Table 5 - Expected Resources – Priority Table

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

- Local and State Enterprise Zone Grants: Henrico County provides grant funding to supplement CDBG funds invested in qualifying businesses for the purpose of job creation for low- and moderate-income persons. Several grant programs are funded with CDBG funds; others with County general funds. Businesses undertaking improvements resulting in job creation can

utilized either or both grant programs. Enterprise Zone businesses/properties are also eligible for state grants.

- Henrico County funds a variety of non-profit organizations in the non-departmental general fund budget for the purpose of providing public services serving predominantly low- and moderate-income persons.
- Low Income Housing Tax Credits (LIHTC): The federal 4% and 9% LIHTC is a substantial source of funding for the construction and rehabilitation of affordable rental units. They are a dollar-for-dollar credit against federal tax liability. There are currently 5,594 LIHTC supported housing units in Henrico within 43 apartment communities. 529 of these units were added in the past five years.
- Section 8 Housing Choice Vouchers: Vouchers used in Henrico County are administered primarily through four entities: Richmond Redevelopment Housing Authority, Henrico Area Mental Health and Developmental Services, Central Virginia Resource Corporation, and Richmond Residential Services.
- Down payment and closing cost assistance is leveraged and/or matched with additional private grants, homeowner contributions, state grants, and in-kind contributions.
- Emergency Solutions Grant Funds are leveraged and matched with state ESG funds, private charitable contributions, United Way and similar funding, and in-kind contributions from public and private agencies, and funding provided through the Continuum of Care, and CDBG funds provided for homelessness prevention.
- Match contribution to HOME-eligible households is provided in-part through two volunteer assistance programs utilizing the value of contributed labor and materials, and through the provision of homebuyer assistance provided by private financial institutions.
- The required ESG Program match is provided by a variety of sources, depending on the provider. Administrative funds are matched with CDBG funds that pay for the additional time spent by County staff administering the ESG program. ESG subrecipients use a mixture of grant funds, foundation funds, other federal and state funds, and private fundraising linked directly to the ESG-funded programs to provide the required match
- Henrico County also provides support to CDBG, HOME, and ESG funded organizations and others that serve low and moderate income individuals. Agencies funded and amount are provided in Appendix H, Agencies Provided County General Funds.

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

Recreation needs and facilities serving low- and moderate-income areas will be met using existing County-owned facilities. Facilities serving populations with special needs are frequently County-owned and used to address many of the needs identified in this plan. Henrico County owns the buildings that are leased to Housing Families (HFF) where the Hilliard House Shelter for families operates, and the HFF administrative offices where rapid rehousing services are provided. County schools, recreation and community centers, libraries, and administrative offices are used for a variety of opportunities to serve citizens with programs meeting needs identified in the Plan. These uses include: public hearings, community meetings, educational classes and workshops, and general program outreach.

Annual Goals and Objectives

AP-20 Annual Goals and Objectives

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Rehabilitation of Existing Housing	2015	2019	Affordable Housing	County-wide	Affordable Housing Preservation and Development	CDBG: \$581,096 HOME: \$516,155	Homeowner Housing Added: 2 Household Housing Unit Homeowner Housing Rehabilitated: 64 Household Housing Unit
2	Increase Affordable Homeownership Opportunities	2015	2019	Affordable Housing	County-wide	Affordable Housing Preservation and Development	CDBG: \$33,500 HOME: \$182,693	Direct Financial Assistance to Homebuyers: 16 Households Assisted
3	Support Housing for Special Needs Populations	2015	2019	Affordable Housing	County-wide	Affordable Housing Preservation and Development	CDBG: \$200,000	Rental units rehabilitated: 4 Household Housing Unit
4	Revitalize Older Commercial Corridors	2015	2019	Economic Development	County-wide	Community Economic Development	CDBG: \$248,500	Facade treatment/business building rehabilitation: 1 Business Jobs created/retained: 8 Jobs Businesses assisted: 256 Businesses Assisted
5	Prevent Homelessness	2015	2019	Homeless	County-wide	Mitigation and Prevention of Homelessness	ESG: \$34,500	Homelessness Prevention: 858 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Assist Homeless Families in Obtaining Housing	2015	2019	Homeless	County-wide	Mitigation and Prevention of Homelessness	ESG: \$39,000	Tenant-based rental assistance / Rapid Rehousing: 9 Households Assisted
7	Emergency Shelter and Supportive Services	2015	2019	Homeless	County-wide	Mitigation and Prevention of Homelessness	ESG: \$55,250	Homeless Person Overnight Shelter: 135 Persons Assisted
8	Provide Public Services for Low/Mod Populations	2015	2019	Non-Housing Community Development	County-wide	Non-housing Community Development	CDBG: \$220,000	Public service activities other than Low/Moderate Income Housing Benefit: 390 Persons Assisted
9	Improvements to Low/Mod Areas	2015	2019	Non-Housing Community Development	Highland Springs/Laburnum Gateway	Non-housing Community Development	CDBG: \$100,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 3205 Persons Assisted

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Rehabilitation of Existing Housing
	Goal Description	Provide funds to project:Homes for minor home repair (55) and moderate home rehabilitation (9) and provide \$98,200 for CHDO activities (2).
2	Goal Name	Increase Affordable Homeownership Opportunities
	Goal Description	Provide funds for 16 down payment assistance grants to SCDHC (5) and HOME Inc. (11).
3	Goal Name	Support Housing for Special Needs Populations
	Goal Description	Provide funds to New Clay House toward development of New Clay House II. Funds for rehabilitation of four rental units; 4 persons assisted.
4	Goal Name	Revitalize Older Commercial Corridors
	Goal Description	Provide funds for one facade improvement grant, 6 design assistance grants, and Commercial Assistance staff. Also includes funds for the Highland Springs Historic District Survey.

5	Goal Name	Prevent Homelessness
	Goal Description	Provide funds to DSS (8 individuals or families) and to YWCA for hotline (850 persons).
6	Goal Name	Assist Homeless Families in Obtaining Housing
	Goal Description	Provide funds to Housing Families First for rapid rehousing for 9 families.
7	Goal Name	Emergency Shelter and Supportive Services
	Goal Description	Provide funds to CARITAS (supportive services to shelter clients, 70 people) and to Hilliard House (shelter operations for 65 households).
8	Goal Name	Provide Public Services for Low/Mod Populations
	Goal Description	Provide funds to CONNECT to provide after-school program for 150 low-income students. Provide funds to Richmond Metropolitan Habitat for Humanity for homeowner education workshops (expect 30 LMI homeowners at each of 4 sessions). Provide funds for a financial opportunity center providing financial literacy services to low-income Henrico residents (45 individuals served). Provide funds for fair housing education including seminars and brochure distribution (60 residents served through seminars, 15 sites for brochures).
9	Goal Name	Improvements to Low/Mod Areas
	Goal Description	Provide safety-related public improvements in a low-income area. (Highland Springs and/or Laburnum Gateway)

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

Thirteen (16) low- and moderate-income households will be assisted through downpayment assistance grants. Another two will be provided affordable housing through the acquisition, rehab, and sale of vacant homes. In addition 64 homeowners will benefit from minor home repairs or moderate home rehabilitation. Through ESG programs, 858 individuals/households will receive services to prevent homelessness; 9 households will receive assistance in being rapidly rehoused after becoming homeless; 135 individuals/households will receive emergency shelter or services.

Projects

AP-35 Projects – 91.220(d)

Introduction

The following projects comprise the activities that will take place during the 2016-17 program year to address the priority needs and specific objectives identified in the strategic plan.

Projects

#	Project Name
1	CDBG Administration
2	HOME Program Administration
3	Commercial Assistance Program
4	Enterprise Zone Facade Grants
5	Enterprise Zone Design Assistance
6	Connect Program
7	project:HOMES Homeowner Rehabilitation Program
8	project:HOMES Emergency and Minor Repairs
9	HOME Inc. Downpayment Assistance
10	Southside Community Development & Housing Corp. Downpayment Assistance
11	CHDO Activities Rehab for Sale
12	Virginia Supportive Housing - New Clay House II
13	Homeowner Maintenance Workshops
14	Presbyterian Homes and Family Services Inc., dba HumanKind - Financial Opportunity Center
15	Highland Springs & Laburnum Gateway Revitalization Initiative
16	Highland Springs Historic District Survey
17	HOME, Inc. - Fair Housing Outreach
18	ESG16 2016-17 ESG program

Table 7 - Project Information

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

Funds are allocated based on priorities established in the Five-Year Consolidated Plan, including the need to address issues with the aging housing stock in the County, the need to provide services and facilities for special needs populations, and funding requests received. An overall downward trend in the HOME entitlement allocation has significantly impacted the ability to address priorities and underserved needs. Capacity issues with some non-profit subrecipients have impacted the ability to serve more households. Acquisition of severely dilapidated, vacant homes has proven challenging.

AP-38 Project Summary
Project Summary Information

1	Project Name	CDBG Administration
	Target Area	County-wide
	Goals Supported	Rehabilitation of Existing Housing Increase Affordable Homeownership Opportunities Support Housing for Special Needs Populations Revitalize Older Commercial Corridors Provide Public Services for Low/Mod Populations
	Needs Addressed	Affordable Housing Preservation and Development Community Economic Development Non-housing Community Development
	Funding	CDBG: \$270,000
	Description	Provides funds for the administration of the CDBG program.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
2	Project Name	HOME Program Administration
	Target Area	County-wide
	Goals Supported	Rehabilitation of Existing Housing Increase Affordable Homeownership Opportunities
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	HOME: \$65,000
	Description	Provide funds for the administration of the HOME program.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	

3	Project Name	Commercial Assistance Program
	Target Area	County-wide
	Goals Supported	Revitalize Older Commercial Corridors
	Needs Addressed	Community Economic Development
	Funding	CDBG: \$203,500
	Description	Provide funds for the administration of the Enterprise Zone program.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	Commercial assistance planners expect to provide technical assistance to 256 business in Henrico County. Eight LMI jobs will be created.
	Location Description	Businesses assisted are located within the County's designated Enterprise Zones.
	Planned Activities	
4	Project Name	Enterprise Zone Facade Grants
	Target Area	Highland Springs/Laburnum Gateway
	Goals Supported	Revitalize Older Commercial Corridors
	Needs Addressed	Community Economic Development
	Funding	CDBG: \$30,000
	Description	Provision of financial incentives to business or commercial property owners seeking to complete improvements to the facade of their building. Assisted properties must be within County-designated Enterprise Zones. Assisted businesses agree to create jobs for low-or moderate-income individuals.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	One business will be assisted; it will create at least one LMI job.
	Location Description	One business/commercial property located within the County's Enterprise Zone will be assisted.
	Planned Activities	
5	Project Name	Enterprise Zone Design Assistance
	Target Area	Highland Springs/Laburnum Gateway
	Goals Supported	Revitalize Older Commercial Corridors
	Needs Addressed	Community Economic Development
	Funding	CDBG: \$15,000

	Description	Provide architectural assistance to business or commercial property owners seeking to make improvements to the facade of their building. Assisted businesses must be located in County-designated Enterprise Zones.
	Target Date	9/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	Six businesses will receive design assistance grants. At least one LMI job will be created.
	Location Description	Assisted businesses must be located within the County's Enterprise Zones
	Planned Activities	
6	Project Name	Connect Program
	Target Area	County-wide
	Goals Supported	Provide Public Services for Low/Mod Populations
	Needs Addressed	Non-housing Community Development
	Funding	CDBG: \$165,000
	Description	Project provides support for an after-school program providing tutoring assistance and other services to children living in subsidized housing complexes.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	Approximately 150 children residing in low-income apartment communities will be participate in this after-school program.
	Location Description	The program operates from five locations and serves 13 low-income communities.
	Planned Activities	
7	Project Name	project:HOMES Homeowner Rehabilitation Program
	Target Area	County-wide
	Goals Supported	Rehabilitation of Existing Housing
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$66,096 HOME: \$418,525
	Description	Program provides moderate home rehabilitation to low-income homeowners who are elderly and/or disabled.
	Target Date	9/30/2017

	Estimate the number and type of families that will benefit from the proposed activities	Nine households will receive moderate home rehabilitation.
	Location Description	Program is offered County-wide
	Planned Activities	
8	Project Name	project:HOMES Emergency and Minor Repairs
	Target Area	County-wide
	Goals Supported	Rehabilitation of Existing Housing
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$515,000
	Description	Program provides minor home repairs for low-and moderate-income homeowners.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	55 low income households will receive minor home repair
	Location Description	County-wide
	Planned Activities	
9	Project Name	HOME Inc. Downpayment Assistance
	Target Area	County-wide
	Goals Supported	Increase Affordable Homeownership Opportunities
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$20,000 HOME: \$117,693
	Description	Provision of down payment assistance grants to first-time, low-or moderate-income homebuyers.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	Eleven households will receive downpayment assistance and homeownership counseling
	Location Description	Housing purchased may be anywhere in Henrico County
	Planned Activities	
10	Project Name	Southside Community Development & Housing Corp. Downpayment Assistance
	Target Area	County-wide
	Goals Supported	Increase Affordable Homeownership Opportunities
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$13,500 HOME: \$65,000

	Description	Provision of downpayment assistance grants to first time, low-or moderate-income homebuyers.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	Five households will receive down payment assistance and homeownership counseling.
	Location Description	Purchased homes may be located anywhere in Henrico County.
	Planned Activities	
11	Project Name	CHDO Activities Rehab for Sale
	Target Area	County-wide
	Goals Supported	Rehabilitation of Existing Housing Increase Affordable Homeownership Opportunities
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	HOME: \$98,200
	Description	Provide funds to assist in the development of affordable housing to low-income, first-time homebuyers. Affordable housing created through either the acquisition, rehab, and sale of an existing vacant home or through new construction.
	Target Date	9/30/2019
	Estimate the number and type of families that will benefit from the proposed activities	Two new units of affordable housing will be produced and sold to a low-income, first-time homebuyer.
	Location Description	County-wide.
	Planned Activities	
12	Project Name	Virginia Supportive Housing - New Clay House II
	Target Area	County-wide
	Goals Supported	Rehabilitation of Existing Housing Support Housing for Special Needs Populations
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$200,000
	Description	Provide funds to Virginia Supportive Housing for the renovation of units at New Clay House II, permanent supportive housing.
	Target Date	9/30/2019

	Estimate the number and type of families that will benefit from the proposed activities	Four units will be rehabilitated, assisting four individuals with the benefit from a rehabilitated housing unit.
	Location Description	New Clay House, 1125 W. Clay Street, Richmond, VA 23220
	Planned Activities	
13	Project Name	Homeowner Maintenance Workshops
	Target Area	County-wide
	Goals Supported	Provide Public Services for Low/Mod Populations
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$15,000
	Description	Provide funds to in order to conduct a series of educational workshops for homeowners in low-mod areas targeted towards housing improvements and maintenance.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	It is estimated that at least 120 LMI persons will attend the workshops
	Location Description	Workshops will be held at public facilities in the central or eastern part of the County.
	Planned Activities	
14	Project Name	Presbyterian Homes and Family Services Inc., dba HumanKind - Financial Opportunity Center
	Target Area	County-wide
	Goals Supported	Provide Public Services for Low/Mod Populations
	Needs Addressed	Non-housing Community Development
	Funding	CDBG: \$25,000
	Description	Provide funds for a financial opportunity center providing financial literacy services to low-income Henrico residents.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	45 low-income Henrico residents will be provided financial literacy services.
	Location Description	800 West Graham Road, Richmond, VA
	Planned Activities	
15	Project Name	Highland Springs & Laburnum Gateway Revitalization Initiative
	Target Area	Highland Springs/Laburnum Gateway
	Goals Supported	Improvements to Low/Mod Areas
	Needs Addressed	Non-housing Community Development
	Funding	CDBG: \$100,000

	Description	Provide funds for revitalization efforts in Highland Springs and/or Laburnum Gateway area through property acquisition, housing rehabilitation, and/or public improvements.
	Target Date	9/30/2019
	Estimate the number and type of families that will benefit from the proposed activities	Public facility or Infrastructure activities for the benefit of 3,205 LMI residents.
	Location Description	Highland Springs and/or RIR area.
	Planned Activities	
16	Project Name	Highland Springs Historic District Survey
	Target Area	Highland Springs/Laburnum Gateway
	Goals Supported	Rehabilitation of Existing Housing Revitalize Older Commercial Corridors
	Needs Addressed	Affordable Housing Preservation and Development Community Economic Development
	Funding	CDBG: \$35,000
	Description	Provide funds in order to complete a historic district survey in Highland Springs for nomination to the National Register of Historic Places.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	Approximately 400 properties within an area of Highland Springs determined eligible for listing in the national Register of historic Places surveyed to complete the inventory necessary for submitting a nomination for listing. Inclusion on the National Register will enable eligible properties to access another funding source in order to complete rehabilitation activities to their home and/or business.
	Location Description	Highland Springs
	Planned Activities	
17	Project Name	HOME, Inc. - Fair Housing Outreach
	Target Area	County-wide
	Goals Supported	Provide Public Services for Low/Mod Populations
	Needs Addressed	Affordable Housing Preservation and Development
	Funding	CDBG: \$15,000
	Description	Provide funds for fair housing education including seminars and brochure distribution.
	Target Date	9/30/2017

	Estimate the number and type of families that will benefit from the proposed activities	15 sites will have brochures available for distribution regarding fair housing education and 60 residents will benefit from fair housing seminars
	Location Description	County-wide
	Planned Activities	
18	Project Name	ESG16 2016-17 ESG program
	Target Area	County-wide
	Goals Supported	Prevent Homelessness Assist Homeless Families in Obtaining Housing Emergency Shelter and Supportive Services
	Needs Addressed	Mitigation and Prevention of Homelessness
	Funding	ESG: \$141,855
	Description	Provide funds for the 2016-2017 ESG program.
	Target Date	9/30/2017
	Estimate the number and type of families that will benefit from the proposed activities	Homeless Prevention activities for Department of Social Services (\$20,000) serving 8 individuals and to YWCA for operation of regional hotline (\$14,500) serving 850 persons. Rapid Rehousing activities for Housing Families First (\$39,000) serving 9 families. Emergency Shelter and Supportive services activities for CARITAS (\$20,000) serving 70 people and to Hilliard House Emergency Shelter Program (\$35,250) serving 65 households.
	Location Description	County-wide.
	Planned Activities	

AP-50 Geographic Distribution – 91.220(f)

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

Henrico County uses all of its CDBG, HOME, and ESG funds to provide benefits to low- and moderate-income people. As a result, CDBG funded activities are located where these people live and/or receive services and/or work. Henrico County does not plan for, or allocate, these resources on a racial or ethnic basis.

The County offers residential rehabilitation and repair programs for low-income homeowners. Eligibility is based on household income and is available County-wide.

Homebuyer assistance programs are available for any County resident who meets the income and eligibility requirements. Housing purchased under these programs can be anywhere in the County.

Housing for sale that is built or rehabilitated with CDBG or HOME funds may be anywhere in Henrico County. Purchasers of these homes must meet income and eligibility guidelines.

The CONNECT Program serves children living in subsidized multi-family housing. The program operates four locations, serving 11 communities: Henrico Arms, Oakland Village, Newbridge Village, Richfield Place, Coventry Gardens, Ironwood, Summerdale, Viviana Hall, Williamsburg Place, Woodlands, and Woodpost Townhomes

Programs that provide assistance to businesses create jobs available to low-income persons. Beneficiaries are not required to be from any particular area of Henrico County. However, businesses assisted must be located in the Enterprise Zone, which follows commercial corridors and industrial areas throughout the County.

One facility that provides permanent, supportive housing to formerly homeless individuals will receive funds to assist with the rehabilitation four rental units; this facility is located in the City of Richmond and provides services to individuals from throughout the Richmond region.

A program to provide homeowner maintenance and repair education will take place at a public facility in a low/mod area.

ESG funds will provide financial assistance and case management services to homeless persons and households and those facing homelessness. Assistance will be given to households who meet the income and eligibility guidelines regardless of where they live or lived in Henrico County. Assistance to those who will be placed in housing will be for housing in any part of the County or metropolitan area that meets the needs of the household.

Henrico County defines areas of minority or racial concentration as those in which 50.1% or more of the population is nonwhite. The non-white minority population comprises 44.1% of the total county population, compared to 35.8% non-white population for the entire Richmond region (Source: 2014 American Community Survey 5-Year Estimates). Census tracts with concentrations of minority population (greater than 50% minority) are shown on the map, "Henrico County Minority Concentrations" provided in Appendix D. These areas are primarily located in the central and eastern areas of the County, with some small concentrations located in western areas of the County.

The CONNECT program serves children in low-income housing developments and these four program sites are located within the areas of high minority concentration.

Geographic Distribution

Target Area	Percentage of Funds
County-wide	91

Table 8 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

Henrico County allocates the majority of funds to activities that are not geographically constrained. A small portion of funds (9.2%) has been allocated to a target area of Highland Springs and the Laburnum Gateway (RIR) areas. Funding targeted for this area is for completion of architectural survey work, capital improvements, and affordable housing (CHDO activities).

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

The *2015-2019 Five Year Consolidated Community Development Plan* identifies priorities based on market analysis, citizen and stakeholder input, and census data. Several priorities also coincide with goals and/or objectives of *Henrico County Vision 2026*, the County Comprehensive Plan, adopted August 2009. These priorities have resulted in the following allocations for housing activities in PY 2016-17. The target date for the completion of the majority of these activities is September 30, 2017.

- \$66,096 from CDBG and \$418,525 from HOME funds to project:HOMES for the rehabilitation of homes owned by very low- or low-income elderly and/or disabled County homeowners.
- \$515,000 from CDBG funds to project:HOMES for emergency and minor repairs to homes owned by very low- or low-income residents of the County.
- \$20,000 from CDBG and \$117,693 from HOME funds to HOME Inc. for down-payment and closing cost assistance for the purchase of homes by low-income, first-time homebuyers.
- \$13,500 from CDBG and \$65,000 from HOME funds to Southside Community Development and Housing Corporation for down-payment and closing cost assistance for the purchase of homes by low-income, first-time homebuyers.
- \$98,200 from HOME CHDO funds for activities of acquisition and rehabilitation of homes for sale to low-income households.
- \$200,000 of CDBG funds to Virginia Supportive Housing for the rehabilitation of four units of permanent, supportive housing at New Clay House.
- \$15,000 of CDBG funds to Richmond Metropolitan Habitat for Humanity for homeowner maintenance and repair workshops for homeowners in low/mod areas.
- \$34,500 from ESG funds to the Henrico Department of Social Services and the YWCA for Homeless Prevention.
- \$39,000 from ESG funds to Housing Families First for Rapid Rehousing.
- \$55,250 from ESG funds to CARITAS and Housing Families First for emergency shelter and/or case management for shelter residents.
- \$10,000 from HOME funds to project:HOMES to facilitate acquisition of vacant homes (or vacant land) by a CHDO for housing development

One Year Goals for the Number of Households to be Supported	
Homeless	1,002
Non-Homeless	82
Special-Needs	4
Total	1,088

Table 9 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	17
The Production of New Units	2
Rehab of Existing Units	64
Acquisition of Existing Units	16
Total	99

Table 10 - One Year Goals for Affordable Housing by Support Type

Discussion

The above numbers represent: 64 units of homeowner rehabilitation or repair and four units of SRO rehab; 2 units of acquisition, rehab, and sale; 16 down payment assistance grants for first-time homebuyers; and 17 persons assisted with rental assistance through rapid rehousing or homeless prevention programs funded with ESG funds. The difference of 989 between the two tables represents 850 persons served by the YWCA hotline and 135 homeless individuals/families in shelters being assisted with emergency shelter and/or case management services.

AP-60 Public Housing – 91.220(h)

Introduction

Henrico County has no public housing.

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

N/A

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

N/A

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

N/A

Discussion

N/A

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

Introduction

Henrico County has placed a high priority on its infrastructure, highways, and economic development. It has a strong commercial tax base and has sought to maintain a vital residential environment. The County has adopted a Comprehensive Revitalization Strategy and created the Department of Community Revitalization to carry out its related programs and activities. This strategy has been successful in the creation of jobs and promotion of a high quality of life. In addition to its ongoing efforts for the commercial and industrial development and stable living environments, the County has invested CDBG funds for the promotion of development of its commercial corridors and places. Henrico County has also participated in the Capital Region Workforce Partnership (CRWP). CRWP manages funds made available through Job Training Partnership Act and other programs. This effort provides training and retraining services to economically disadvantaged adults and youths faced with significant education and/or skill barriers to employment; provides assistance to laid-off workers that result in their speedy return to employment; and provides services to individuals in danger of becoming long-term unemployed.

In addition, the County has utilized all of its CDBG and HOME Program allocations for the benefit of low-income persons to reduce the effects of poverty and to assist families to transition into the economic mainstream. For special needs, the County utilizes CDBG and/or HOME funds in keeping its elderly, very low- and low-income homeowners in their homes through a program of minor repairs and housing rehabilitation. For physically disabled individuals, the County continues to use CDBG funds for housing repairs and rehabilitation.

The goals of this funding source are to reduce the number of individuals/households who become homeless; to shorten the length of time an individual or household is homeless; and to reduce the number of individuals/households that return to homelessness. The County will meet these goals through supporting Continuum of Care (COC) strategies and homeless service and prevention programs that align with these goals. This funding will support coordinated community-based activities that are designed to support the goals of the ESG program. Henrico County will use ESG funding for rapid re-housing, homeless prevention, and support services for homeless individuals in a manner that is coordinated with other homeless service providers, homeless prevention providers, and other resources within the County.

As of April 22, 2016, Henrico Area Mental Health & Developmental Services (HAMHDS) has 268 Section 8 housing vouchers under lease; 249 of those vouchers are being used in Henrico County. HAMHDS has approximately 214 people on their waiting list as of April 22, 2016.

The Central Virginia Resource Corporation reported as of April 29, 2016, 411 Section 8 housing vouchers currently leased in Henrico County and managed through an administrative services agreement with VHDA. Richmond Residential Services manages 185 vouchers for adults with intellectual disabilities and through the HUD-Veterans Affairs Supportive Housing (HUD-VASH) program. The specific number of these vouchers currently used in Henrico County is not available.

The Henrico County Department of Social Services provided assistance to homeless persons and those threatened with homelessness through needs assessments and the provision of services. The Department's Homelessness Prevention Program provided financial assistance to 127 households. The

Department of Social Services has provided assistance locating housing, providing rental and utility assistance, and other assistance.

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

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

The County participates in street outreach which provides individualized assessments and provides services to unsheltered homeless persons. Information gathered during this process is incorporated in the annual homelessness point in time count, coordinated twice a year by Homeward. Henrico coordinates with a large number of agencies to provide services to homeless individuals and families and provides financial assistance to several including:

- Feedmore (Meals on Wheels, Central Virginia Foodbank)
- FISH (Eastern Henrico County)
- Housing Families First/Hilliard House
- Homeward
- Safe Harbor
- Salvation Army
- St. Joseph’s Villa Flagler Homeless Services
- CARITAS
- HEARTH of Henrico
- YWCA

Addressing the emergency shelter and transitional housing needs of homeless persons

The ESG program funds service providers for programs related to Rapid Rehousing, Case Management, and Homeless Prevention. These programs provide short- and medium-term shelter and supportive services to homeless individuals and families while affordable, suitable permanent housing is being sought.

Based on the 2016-17 ESG program year, ESG service providers anticipate assisting 858 households and individuals with homeless prevention services; rapidly re-house 9 households and individuals; provide support service to shelter operations benefiting 70 households; and case management to 65 shelter residents.

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

The ESG program funds Rapid Rehousing and Homeless Prevention programs which provide short and medium-term rental assistance and supportive services to homeless individuals and families and those at risk of homelessness, so that they can access and maintain affordable, suitable permanent housing.

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.

For PY 2016-17 Henrico County has allocated ESG funds to organizations that provide services to clientele including homeless persons and persons at risk of homelessness. These organizations, program descriptions and allocations include the following:

- CARITAS Case Management -- \$20,000 to fund a program that will provide case management services to 70 individuals residing in shelters. An additional \$32,805 has been allocated from non-departmental funds to support shelter staff costs for the Single Adult and Family Focus programs.
- St. Joseph's Villa – Flagler Housing and Homeless Services -- \$34,174 has been allocated from non-departmental funds for the provision of services. No request nor allocation for ESG funding.
- Housing Families First Rapid Rehousing -- \$39,000 to fund a program to provide rapid re-housing for 9 households, primarily women and children. An additional \$41,337 has been allocated from non-departmental funds for rapid rehousing.
- Department of Social Services Homeless Prevention -- \$20,000 of ESG funds for the provision of assistance and services to prevent homelessness for 8 persons or families.
- YWCA -- \$14,500 towards the cost of operating a regional domestic violence hotline. It is estimated that 850 Henrico County residents will benefit from this hotline. An additional \$20,520 has been allocated from non-departmental funds for the hotline, emergency safe housing, counseling, and case management.

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

Introduction:

Henrico County is an affordable housing market. Based on current assessed values of single-family homes in the County, a large percentage of its homes are affordable for low-income families, making 80% or less than median income for the area.

As reported in the 2010-2015 Five Year Consolidated Community Development Plan, Henrico has tracked the affordability of its single-family housing, which documented that 74% were affordable in 2001, and following fluctuations during the decade, resulted in a 71% affordability rate in 2010. Also, in 2010, 91% of homes were affordable as workforce housing for families earning 120% of AMI. Looking at housing affordability for low and moderate income homeowners, analyses by County staff in 2013 and 2015 determined in 2013, 66.1% of single-family homes were affordable for households earning up to 80% AMI. That percentage decreased to 62.1% in 2015.

In addition, Henrico County has 6,099 apartments supported by either HUD Section 8 project-based vouchers (2,239 units) or Low Income Housing Tax Credits (3,860 units). In addition, 679 Sec. 8 housing choice vouchers issued by Central Virginia Resource Corporation or Henrico Mental Health and Development Services are in use by households in Henrico County. Vouchers are also issued by the Richmond Redevelopment and Housing Authority and Richmond Residential Services for use in Henrico County. Specific numbers of these vouchers in use in Henrico County are not available. There were 756 identified McKinney-Vento students in Henrico County public schools.

Historically, Henrico County has allowed some of the smallest lot sizes in the area and has never required cash proffers or impact fees. The County has consistently promoted a variety of residential development including apartments, townhouses, condominiums, and single-family dwellings.

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

Specific actions during PY 2016-17 to remove barriers and promote affordable housing include the following:

- Allocation of \$98,200 for CHDO Activities aimed at increasing the supply of affordable housing for low- and moderate-income homeowners.
- Allocation of \$100,000 of CDBG for infrastructure improvements.
- Allocation of \$182,693 of HOME and \$33,500 of CDBG for down payment assistance to support first-time low- and moderate-income homebuyers.
- Allocation of a total of \$999,821 for rehabilitation and minor repair programs in support of the retention of existing affordable housing.
- Allocation of \$10,000 of HOME funds to assist with the acquisition of property for development of affordable housing through CHDO's
- Allocation of \$200,000 of CDBG for rehabilitation of 4 units of permanent supportive housing.
- Allocation of \$1,911,282 of County General Funds to the Community Maintenance and Building

Inspection Programs that includes the administration of a volunteer housing assistance program designed to improve the housing conditions of low-income County homeowners and a program of facilitating the maintenance of affordable housing communities.

- Lowest real estate tax rate of the 13 largest jurisdictions in Virginia.
- Real Estate Advantage Program (REAP) provides real estate tax exemption for qualified seniors totaling \$8,197,550 in savings to qualified seniors.
- Tax abatement for single-family and multi-family housing rehabilitation.

AP-85 Other Actions – 91.220(k)

Introduction:

Henrico County undertakes a variety of actions to meet underserved needs, foster and maintain affordable housing, reduce lead-based paint, reduce the number of poverty level families, develop institutional structure, and enhance coordination between public and private housing and social service agencies. These actions are part of the administrative culture of the County and will continue through PY 2016-17. Despite substantially diminishing resources, the County will maintain a focus on the most critical needs in these areas.

Actions planned to address obstacles to meeting underserved needs

While there are several constraints to meeting the needs of low-, very low-, and moderate-income residents, the primary obstacle is the lack of funding to fully address all needs. In response to the level of need, the County continues to provide local funding to nonprofits.

The County continues to administer Housing Choice Vouchers, provide homeless prevention services and assistance for County residents, and continues on a County-wide basis to encourage economic development leading to job growth, much of which is targeted to very low-, low-, and moderate-income persons. The County also encourages all types of residential development and has been supportive of the use of low-income housing tax credits for the rehabilitation of multi-family housing for low- and moderate-income persons.

Actions planned to foster and maintain affordable housing

During PY 2016-17, Henrico County will commit a total of \$999,821 for homeowner rehabilitation and repair for 64 low- and moderate-income households, the majority of which will be elderly householders.

An additional \$98,200 will be committed for the acquisition, rehabilitation, and sale of vacant homes to low- and very low-income first-time homebuyers. The County is providing \$216,193 in homebuyer assistance and education to 16 first-time low/mod homebuyers. The Community Maintenance Program (funded through the General Fund) includes the administration of a volunteer housing assistance program designed to improve the housing conditions of low-income County homeowners and a program of facilitating the maintenance of affordable housing communities.

Actions planned to reduce lead-based paint hazards

The County budgets an additional \$5,000 above the maximum \$45,000 per unit cost for moderate rehabilitation to address potential lead-based paint abatement.

Actions planned to reduce the number of poverty-level families

The Commercial Assistance Program, the Enterprise Zone Facade Grant program, and the Enterprise Zone Design Assistance program facilitate development and expansion of businesses to create jobs available to low- and moderate-income persons as well as persons in poverty.

The County will continue to support appropriate activities that preserve and expand the supply of housing that is affordable to low-income households. This will include support for applications for low-income housing tax credits for the rehabilitation of existing multi-family units, providing housing opportunities for low- and moderate-income persons.

The CONNECT Program provides after-school mentoring and tutoring to improve educational achievement (a significant factor in determining future income) for children residing in low-income

housing communities. The County has committed \$165,000 of CDBG funds towards this program in PY 2016-17.

Actions planned to develop institutional structure

The County also has a designated staff position to administer the programs and activities funded with CDBG funds and a HOME Program Manager to administer the programs and activities funded with HOME and ESG funds. Staff works with the individual County departments such as Public Works, Social Services, Recreation and Parks, Mental Health, Planning, Public Utilities, Building Inspections, and the Division of Community Maintenance to develop procedures and coordination for administering programs that will be carried out by these divisions. Staff regularly tracks the production and effectiveness of all agencies, including subrecipients, tasked with implementing programs with CDBG, HOME, and ESG funds. Adjustments are continuously made as needed.

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

CDBG, HOME, and ESG staff will continue to participate in monthly meetings with County social services agencies, bi-monthly meetings with non-profit housing providers, and regular interactions with housing agencies and financial institutions.

Program Specific Requirements

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

Introduction:

Henrico County receives CDBG, HOME, and ESG entitlement funds and does not expect to receive any CDBG or ESG program income in 2015-16. It is possible Henrico County may receive HOME program income as a result of proceeds from CHDO development or early payoff of loans before the end of the affordability period.

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.220(I)(1)

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

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

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	100.00%

Reference 24 CFR 91.220(l)(2)

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

N/A

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

Henrico uses the recapture provision for homebuyer activities and imposes an affordability period and recapture policy. Henrico limits the amount subject to recapture to the net proceeds available from the sale. Henrico County monitors the ownership during the "affordability period." Enforcement of the homebuyer provisions contained in the HOME Regulations (24 CFR Part 92) will be through a Deed of Trust and Note. See attached Henrico County Recapture Provisions (Appendix E).

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

Henrico County implements the Recapture option. Guidelines are provided in Appendix E -- Henrico County Recapture Provisions.

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

N/A

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

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

By accepting ESG funds from Henrico County, the grantee agrees to administer the funds in accordance with the Henrico County Emergency Solutions Grant Manual and HUD ESG regulations. A copy of the manual is located in Appendix F.

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

The community has had a centralized point of entry into the shelter system since 2004. It is called Homeless Point of Entry (HPE), is run by Commonwealth Catholic Charities, and provides screening and assessment for shelter assistance. All households seeking shelter are assessed using the Richmond Housing Barrier Assessment, which is a tool that has been designed to identify demographic information and service needs. Most agencies use the form since their receipt of state funding requires the use of that barrier assessment tool.

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

The County and the CoC actively encourage new applicants to apply for funds and develop educational presentations about the funding process and local priorities. All applicants and potential applicants are encouraged to participate in the CoC and work to address gaps in service provision. The County solicits applications from all qualified service providers and makes them aware of funding through various notification letters, phone calls, and information. Application instructions are posted on the County's website.

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

The County has met the requirements of 24 CFR 576.405(a) by participating in and seeking input from the CoC's ranking committee regarding gaps in service and gained input that was applied in the funding decisions.

5. Describe performance standards for evaluating ESG.

The CoC uses the HEARTH performance measurements to evaluate ESG programs. The HMIS staff run APR reports quarterly for review by the funded agencies and provides this information to the Project Development Manager. The Performance Measurement Committee of the Continuum of Care began its work in the Spring of 2014 and will develop detailed performance standards for each program type. With the exception of providers primarily serving survivors of domestic violence, all programs use HMIS to collect data and monitor program outcomes.

2016-2017 Consolidated Plan and Action Plan Appendices

Appendix A: Resolution of the Board of Supervisors

Appendix B: Sources and Uses of Funds

Appendix C: Public Hearing Notices

Appendix D: Areas of Minority Concentration

Appendix E: Henrico County Recapture Provisions

Appendix F: Henrico County ESG Manual

Appendix G: Targeted Areas

Appendix H: Agencies Provided County General Funds

**COUNTY OF HENRICO, VIRGINIA
BOARD OF SUPERVISORS
MINUTE**

Agenda Item No. 130-10
Page No. 2 of 2

Agenda Title: RESOLUTION — Authorizing the County Manager to Submit the Henrico County Annual Consolidated Action Plan, including the CDBG, HOME and ESG Program Plans for Fiscal Year 2016-17; to Execute the CDBG, HOME and ESG Agreements for Fiscal Year 2016-17; and to Execute Contracts to Implement the CDBG, HOME and ESG Activities.

NOW, THEREFORE, BE IT RESOLVED by the Board of Supervisors that it: (1) approves the 2016-17 Plan, including the proposed uses of CDBG, HOME and ESG funds for Fiscal Year 2016-17; (2) authorizes the County Manager to submit the Plan; and (3) authorizes the County Manager to execute the CDBG, HOME, and ESG agreements for Fiscal Year 2016-17 and the contracts necessary to implement the CDBG, HOME and ESG program activities in a form approved by the County Attorney.

COMMENTS: The Director of Community Revitalization recommends approval of this Board paper, and the County Manager concurs.

Appendix B – 2016-17 Sources and Uses

County of Henrico, Virginia 2016-2017 CDBG, HOME, & ESG Programs Sources & Uses of Funds Amended April 25, 2017

SOURCES	CDBG	Amended CDBG April 2017	HOME	Amended HOME April 2017	ESG
FY 2016-2017 Allocation	\$1,538,617	\$1,538,617	\$654,655	\$654,655	\$141,855
Funds Brought Forward	129,479	149,479		52,693	
Program Income			\$67,070	\$67,070	
Total Available	\$1,668,096	\$1,688,096	\$721,725	\$774,418	\$141,855
CDBG/HOME USES					
1. CDBG & HOME Administration	270,000	270,000	65,000	65,000	
2. Commercial Assistance Program	203,500	203,500			
3. Enterprise Zone Façade Grants	30,000	30,000			
4. Enterprise Zone Design Assistance	15,000	15,000			
5. CONNECT Program	165,000	165,000			
6. project:HOMES Homeowner Rehabilitation Program	66,096	66,096	418,725	418,725	
7. project:HOMES Emergency and Minor Repairs	495,000	515,000			
8. HOME Inc. Downpayment Assistance	20,000	20,000	75,000	117,693	
9. Southside Community Development & Housing Corp. Downpayment Assistance	13,500	13,500	65,000	65,000	
10. CHDO Activites Rehab for Sale			98,000	98,000	
10-A. project:HOMES Vacant Housing Acquisition				10,000	
11. Virginia Supportive Housing - New Clay House II	200,000	200,000			
12. Homeowner Maintenance Workshops	15,000	15,000			
13. Presbyterian Homes and Family Services Inc., dba HumanKind - Financial Opportunity Center	25,000	25,000			
14. Highland Springs & Laburnum Gateway Revitalization Initiative	100,000	100,000			
15. Highland Springs Historic District Survey	35,000	35,000			
16. HOME Inc. - Fair Housing Outreach	15,000	15,000			
ESG USES					
1. ESG Administration					10,605
2. Henrico Social Services - Homeless Prevention					20,000
3. Housing Families First - Hilliard House Emergency Shelter Program					35,250
4. Housing Families First - Rapid Rehousing					39,000
5. CARITAS - Case Management for shelter clients					20,000
6. YWCA of Richmond - Greater Richmond Regional Domestic Violence Hotline					14,500
7. Homeward - Homeless Management Information System					2,500
TOTAL	\$1,668,096	\$1,688,096	\$721,725	\$774,418	\$141,855

April 25, 2017

Appendix C – Public Hearing Notices

Published in the Richmond Times-Dispatch (May 23, 2016) and Henrico Citizen (May 23, 2016).

Notice of Public Hearing on the Submission of the Henrico County 2016-17 Annual Action Plan

Henrico County is a participant in the federal Community Development Block Grant (CDBG), HOME Investment Partnerships Program Grant, and Emergency Solutions Grant (ESG) programs and is required to submit an Annual Action Plan to the U.S. Department of Housing and Urban Development by August 15, 2016. The Henrico County Board of Supervisors will hold a public hearing on Tuesday, June 28, 2016 at 7:00 PM in the Board Room in the County Administration Building at Parham and Hungary Spring Roads to consider a resolution to adopt the proposed Plan and the proposed uses of funds.

Funding for the program year includes:

2016-17 CDBG Entitlement Grant	\$1,538,617
CDBG Funds Brought Forward	\$129,479
2016-17 HOME Entitlement Grant	\$654,095
HOME 2015-16 Program Income	\$67,070
2016-17 Emergency Solutions Grant	\$141,855
Total Funds Available	\$2,531,116

The following projects have been recommended for funding in 2016-2017:

CDBG and HOME Program Administration - CDBG: \$270,000; HOME: \$65,000.

Commercial Assistance Program - technical assistance to businesses and property owners for commercial corridor revitalization and for job creation. CDBG: \$203,500.

Enterprise Zone Façade Grants - financial assistance towards costs of rehabilitation of commercial buildings in Enterprise Zone creating jobs. CDBG: \$30,000.

Enterprise Zone Design Assistance - for businesses considering improvements creating jobs. CDBG: \$15,000.

CONNECT Program - support services for at-risk youth living in subsidized housing. CDBG: \$165,000.

project:HOMES Homeowner Rehabilitation Program - rehabilitation of homes of low-income elderly and/or disabled homeowners. CDBG: \$66,096; HOME: \$418,165.

project:HOMES Emergency and Minor Repairs - emergency and minor repairs to homes of low-income homeowners. CDBG: \$495,000.

HOME Inc. Downpayment Assistance - homeownership assistance for low-income persons. CDBG: \$20,000; HOME: \$75,000.

Southside Community Development & Housing Corp. Downpayment Assistance - homeownership assistance for low-income persons. CDBG: \$13,500; HOME: \$65,000.

Southside Community Development & Housing Corp. Downpayment Assistance - homeownership assistance for low-income persons. CDBG: \$13,500; HOME: \$65,000.

CHDO Activities Rehab for Sale - acquisition, rehabilitation, and sale of vacant single-family homes to low-income families. HOME: \$98,000.

Virginia Supportive Housing New Clay House II - support for the rehabilitation of supportive housing units. CDBG: \$200,000.

Homeowner Maintenance Workshops - home maintenance and repair workshops for low-income homeowners. CDBG: \$15,000.

Presbyterian Homes and Family Services Inc., dba HumanKind - Financial Opportunity Center - financial education serving low-income households. CDBG: \$25,000.

Highland Springs and Laburnum Gateway Revitalization Initiative - housing and neighborhood revitalization activities in Highland Springs and the Laburnum Gateway area. CDBG: \$100,000.

Highland Springs Historic District Survey - funds for a National Register District survey and nomination for Highland Springs. CDBG: \$35,000.

HOME Inc. - Fair Housing Outreach - outreach and education activities to promote fair housing. CDBG: \$15,000.

ESG Program Administration - ESG: \$10,605.

Henrico Social Services - Homeless Prevention - ESG: \$20,000.

Housing Families First - Hilliard House Emergency Shelter Program - ESG: \$35,250.

Housing Families First - Rapid Rehousing - ESG: \$39,000.

CARITAS - Case Management for Shelter Clients - ESG: \$20,000.

YWCA of Richmond - Greater Richmond Regional Domestic Violence Hotline - ESG: \$14,500.

Homeward - Homeless Management Information System - ESG: \$2,500.

The proposed Plan is available for review in the Henrico County Department of Community Revitalization at 4062 Crockett Street during normal business hours, and can also be viewed online at henrico.us/revit. Online access is available at all County libraries. For additional information, or to provide comments, please call the Department of Community Revitalization at 501-7617 or email revitalization@henrico.us.

Published in the Richmond Times-Dispatch (Jan. 29, 2016) and Henrico Citizen (Jan. 29, 2016).

**Public Hearing on Community Development Needs
and Notice of Funding Availability**

Henrico County, Virginia

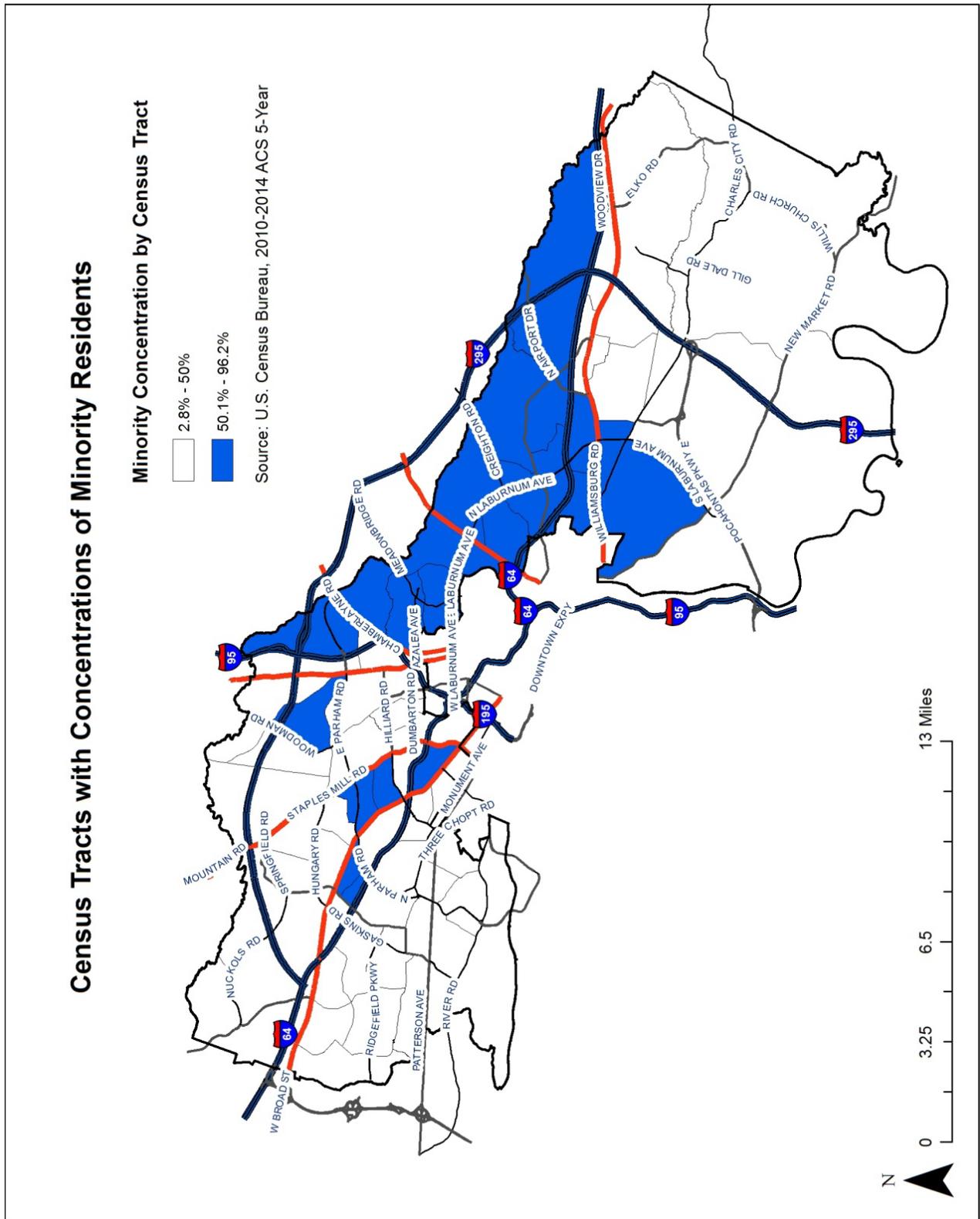
As a participant in the Community Development Block Grant (CDBG), HOME Investment Partnerships Program (HOME), and Emergency Solutions Grant (ESG) program, Henrico County will prepare a Consolidated Annual Action Plan for submission to the U.S. Department of Housing and Urban Development. The 2016-2017 Action Plan will include the County's proposed uses of CDBG, HOME, and ESG funds for the program year October 1, 2016 through September 30, 2017.

Henrico County will conduct a public hearing at 6:00 pm, Monday, February 29, 2016 at the Libbie Mill Library located at 2100 Libbie Lake East Street. The County encourages citizens to attend, especially low- and moderate-income citizens and residents of low- and moderate-income neighborhoods, and express their opinions concerning community development needs in the County. These needs may include housing, enhancement of neighborhoods, expansion of economic opportunities, or any other needs that citizens consider important.

Agencies interested in applying for CDBG, HOME, or ESG funds for Program Year 2016-2017 may obtain an application from the County website at henrico.us/revit. The deadline to apply is March 7, 2016.

If you have questions, comments, or wish additional information concerning the public hearing or applying for CDBG, HOME, or ESG funds please call the Department of Community Revitalization at 501-7640.

Appendix D – Areas of Minority Concentration



Appendix E – Henrico County Recapture Provisions

HENRICO COUNTY RECAPTURE PROVISION FOR USE OF HOME FUNDS

The County of Henrico will use the Recapture Provision in all HOME homeownership and homebuyer projects/activities to ensure homes remain the buyer’s principal residence throughout the affordability period. The following table outlines the affordability periods.

Amount of HOME Investment	Length of the Affordability Period
Under \$15,000	5 years
\$15,000 to \$40,000	10 years
Over \$40,000	15 years

FOREGIVENESS OF REPAYMENT / RECAPTURE:

If the Borrower (homeowner) occupies the property as his/her principal place of residence for a period of time less than the affordability period, then a pro-rated portion of the Direct HOME Subsidy (HOME Investment) will be forgiven for each full year that Borrower owns and occupies the property, as described below and Henrico County will recapture a pro-rated amount from net proceeds available at sale.

The “Direct HOME Subsidy” is defined as the HOME assistance that enabled the Borrower to purchase the property. Direct HOME Subsidy includes down-payment, closing costs or other HOME assistance provided directly to the Borrower.

The pro-rated amount recaptured and returned to Henrico County is calculated as follows:

- Divide the number of full years the Borrower occupied the home by the period of affordability.
- Multiply the resulting figure by the total amount of direct HOME subsidy originally provided to the Borrower. This is the amount forgiven.
- Subtract the forgiven amount from amount of direct HOME subsidy.
- Example:
 - Mr. Smith received a \$12,000 downpayment assistance grant. This required an affordability period of 5 years. He sold the home after 3 years and 7 months and moved out. He therefore resided in the home for 3 full years. $3 \text{ years} / 5 \text{ years} = 0.6$; $0.6 \times \$12,000 = \$7,200$; $\$12,000 - \$7,200 = \$4,800$, which is the amount recaptured.

In the event of foreclosure, the recaptured HOME investment is pro-rated as described above.

Under no circumstances will Henrico County recapture more than is available from the Net Proceeds of the sale. “Net Proceeds” is defined as the sales price minus superior loan repayment (other than HOME funds) and any closing costs.

RIGHT OF FIRST REFUSAL:

In the event that Borrower wishes to sell, assign, convey or otherwise transfer the property secured, the County of Henrico shall have exclusive Right of First Refusal to purchase or otherwise receive title to this Property in the amount of a third party bona fide offer under the following terms and conditions:

1. If the Borrower receives a bona fide offer from a ready, willing and able purchaser to purchase the Property, the Borrower shall give written notice of sale and a true copy of the offer to purchase the Property to the County of Henrico by certified mail, return receipt requested within seven (7) days of the Borrower receipt of the offer.

2. The County of Henrico shall have five (5) business days from the date of receipt of notice to give the Borrower a like notice if the County of Henrico intends to exercise its right to purchase the Property.
3. If the County of Henrico exercises its right to purchase the Property, the right shall be exercised and payment to the Borrower shall be made within thirty (30) days of receipt by the Borrower of the County's good faith intent to purchase the Property. Borrower shall convey the Property to the County of Henrico by Special Warranty Deed, free and clear of all liens and encumbrances and such other matters as would not materially interfere with the use of the Property or the marketability of title.
4. The first right of refusal restrictions will automatically terminate if title to the mortgaged property is transferred by foreclosure, deed-in-lieu of foreclosure, or assignment of an FHA insured mortgage to HUD.

Right of First Refusal is not applicable to homeowner rehabilitation projects

DUE ON SALE; ACCELERATION:

If all or any part of the Property, or interest therein, is leased, sold or otherwise transferred by the Borrower, excluding the granting of a lien subordination, or by survivorship, all sums secured are immediately due and payable, except as provided above.

SUBORDINATION:

The lien for HOME funds shall no worse than in second lien position.

REFINANCING:

The County of Henrico will agree to subordinate an existing lien associated with HOME funds to new debt in order to protect its interests and the interests of the homebuyer. Refinancing is limited to circumstances in which the following occurs:

- The homebuyer must be securing better terms that reduce monthly housing costs.
- The new interest rate must be fixed for the life of the loan (no balloon or ARM loans).
- Cash equity withdrawn may only be used for emergency property repairs or catastrophic expenses upon approval by Henrico County.

In the event refinancing does not meet one of the circumstances described above, Henrico County will not approve refinancing.

In the event refinancing involves the primary lien (first mortgage) and the second lien (direct HOME subsidy), for a period of time less than the affordability period, then the homebuyer will be required to reimburse Henrico County the outstanding balance of their direct HOME subsidy for the remaining affordability period.

ENFORCEMENT:

Recapture provisions shall be enforced through contractual agreements between Henrico County and its sub-recipients and CHDO's. All subrecipients and CHDO's will be responsible for passing the recapture provision requirement to the purchaser of the HOME assisted unit in the form of a recorded Deed of Trust and Note that runs concurrently with the affordability period and through a written agreement between the homebuyer and the subrecipient/CHDO.

8/2015.

Appendix F – Henrico County ESG Manual



Henrico County Emergency Solutions Grant Manual

September 2014
Revised September 2015

Department of Community Revitalization

P. O. Box 90775

Henrico, VA 23273

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I. INTRODUCTION

Henrico County is a recipient pursuant of U.S. Department of Housing and Urban Development Title 24, § 576 - Emergency Solutions Grants (ESG) Program funds. The Emergency Solutions Grants Program is designed to assist homeless individuals and families, and subpopulations within this group, such as victims of domestic violence, youth, people with mental illness, families with children, and veterans. The ESG Program is authorized under Subtitle B of Title IV of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11371-11378) and program funds may be used for five (5) program components (§576.101 - §576.107) and administrative activities (§ 576.108). Finally, the ESG Program is governed by regulations in 24 CFR § 576 Emergency Solutions Grants Program.

Henrico County typically subgrants ESG funds private non-profit and County agencies. Subrecipient agreements with ESG providers (and memoranda of agreement with County agencies) include language referencing the need to abide by the regulatory requirements governing the ESG program as described in this document.

Eligible Program Components

- Street Outreach – Essential Services related to reaching out to unsheltered homeless individuals and families, and connecting and providing them with urgent non-facility based care.
- Emergency Shelter – Rehabilitation, conversion, or renovation of a building to serve as a homeless shelter, shelter operations and provisions of services to homeless individuals and families.
- Homelessness Prevention – Rent, application fees, security deposits, legal services, credit repair, and other assistance to prevent individuals or families from becoming homeless. (no funding limit)
- Rapid Re-housing Assistance – Housing relocation and stabilization services to move individuals and families from shelters to permanent housing. (no funding limits)
- Homeless Management Information System (HMIS) – For costs of participating in informal system management by Homeward, the Richmond area Continuum of Care. (no funding limits)
- Grant Administration is also allowed. (Limited to 7.5%)

II. PROGRAM COMPONENTS

The following is an expanded list of ESG program components. Eligible Participants are determined based on HUD's criteria for defining homeless and at risk of homelessness (Appendix A). Eligible costs for each component may be found in the Code of Federal Regulations.

Street Outreach

Eligible Participants: Unsheltered individuals and families who are homeless.

Eligible Activities: Essential services to eligible participants provided on the street or in parks, abandoned building, bus stations, campgrounds, and in other such setting where unsheltered persons are staying. Staff salaries, related to carrying out street outreach activities, are also eligible.

Eligible Costs: Engagement, case management, emergency health services, emergency mental health services, transportation and services to special populations.

Emergency Shelter

Eligible Participants: Individuals and families who are homeless.

Eligible Activities: Essential services to persons in emergency shelters, renovating buildings to be used as emergency shelters, and operating emergency shelters. Staff costs, related to carrying out emergency shelter activities are also eligible.

Eligible Costs: Essential Services, renovation, shelter operations, assistance required under the Uniform Relocation Act.

Essential services are those services provided to individuals and families who are in an emergency shelter, including: case management, child care, education services, employment assistance and job training, outpatient health services, legal services, transportation, services for special populations.

Shelter operations are costs to operate and maintain emergency shelters and also provide other emergency lodging when appropriate. Essential services must be included under the emergency component in the interim rule to be eligible cost with ESG funds.

The eligible costs for essential services include: maintenance (including minor and routine repairs), rent, security, fuel, insurance, utilities, food, furnishings, equipment, supplies necessary for the operation of the shelter, hotel/motel vouchers for individuals and families but only when no appropriate emergency shelter is available.

Expenditure Limits for Street Outreach and Emergency Shelter: Combined street outreach and emergency shelter expenditures for each fiscal year's ESG grant cannot exceed 60% of the total ESG grant award (\$ for 2014-2015).

Homeless Prevention and Rapid Re-Housing

Eligible Participants: Rapid Re-housing participants are individuals and families who are literally homeless, at imminent risk of homelessness, and who are below 30% AMI.

Eligible Activities: Short-and medium-term rental Assistance and Housing Relocation and Stabilization services. Staff salaries related to carrying out rapid re-housing and homeless prevention activities.

Short-term rental assistance is up to 3 months of assistance. Medium-term rental assistance is up to 24 months of assistance. A one-time payment of up to 6 months of arrears is also eligible but the total of short-term, medium-term rental assistance, and arrears cannot exceed 24 months of assistance, including any last month rental payment as part of the security deposit.

Homeless Management Information System HMIS

All subrecipients must participate in HMIS, except victim services and legal service providers who may establish a comparable data base.

Administration

Recipients may use up to 7.5% of the ESG grant for the payment of administrative costs related to the planning and execution of the ESG activities, which may be shared with subrecipients.

III. SUB-RECIPIENT PROGRAM REQUIREMENTS

Assistance through the Emergency Solutions Grants (ESG) program is intended to be provided as a part of a CoC-coordinated, system-wide approach. In order to evaluate and coordinate services to the greatest extent possible, subrecipients providing funding assistance must:

- All sub-recipients are required to match awarded ESG funds dollar-for-dollar.
- All sub-recipients are required to have access to and input beneficiary information the Homeless Management Information Systems (HMIS).
- Must expend Grant funds within 24 months.
- Eligible participants for homeless prevention services must be below 30% AMI.
- A signed and completed Homeless Certification Form and any supporting documentation must be included in each program participant file.
- Develop a permanent housing plan with each program participant for use after ESG assistance ends (see 24 CFR § 576.401(e)(1)(ii)).
- Require program participants to meet with a case manager not less than once per month to implement the plan and monitor progress towards housing stability (see § 576.401(e)(1)(i)).
- Assist program participants in obtaining appropriate supportive services, as well as connect them to other federal, state, local, and private benefits and services for which they may be eligible. This includes, but is not limited to, Medicaid, SNAP, WIC, unemployment insurance, SSI/SSDI, services for veterans, and TANF (see § 576.401(d)).
- Document all of the efforts required above in the program participant's file (see § 576.500(f)).
- Work with Henrico County to develop and maintain written policies and procedures for coordination among different providers of services in the community. Activities must be coordinated and integrated to the maximum extent practicable (see § 576.400(e)(3)(v)).

Exception: Subrecipients are exempt from the requirement to meet with program participants monthly if they also receive funding under the Violence Against Women Act of 1994 (VAWA) or the Family Violence Prevention and Services Act (FVSP), because these programs prohibit making housing conditional on the program participant's acceptance of services (see § 576.401(e)(2)).

The requirements described above are required when providing any kind of ESG-funded assistance (including emergency shelter), even when, for instance just a one-time payment of rent/utility arrears is being provided. In this example, a single case management session may meet the program's requirements so long as the housing plan can be established and the referrals to mainstream resources can be completed during the initial intake meeting. The subrecipient may, however, require the program participant to attend additional follow-up meetings as a condition of receiving assistance.

Evaluating Eligibility for Assistance

Eligibility is awarded to individuals and families at or below 30% AMI that are experiencing homelessness, as defined by HUD. All other individuals and families who qualify for rapid re-housing services under ESG regulations will be referred to ESG-funded providers for relevant services.

Coordination among Providers

Coordination among homeless service providers will occur primarily through the centralized intake system. *Exceptions may be made for those who show up at emergency shelters on their own.*

Given this context, programs that receive funding through ESG will be subject to the following coordination requirements:

- a. Street Outreach providers coordinate with emergency shelters to utilize the centralized intake system and work with the emergency shelter to meet the immediate need for the shelter.
- b. Emergency Shelter providers must partner with Rapid Re-housing providers to ensure participants have access to services that can quickly re-stabilized participant's housing situation can be
- c. Homelessness Prevention Programs will participate in a coordinated service system
- d. Rapid Re-housing programs will be expected to use the centralized intake system for referrals and coordinate with emergency shelters for unsheltered clients.

Homelessness Prevention

Priority will be given to individuals and families who meet the minimum eligibility requirements and are at imminent risk of homelessness as defined by HUD, who are below 30% AMI, and have a vacate notice. These candidates must meet the requirements of and acquire a Homeless Certificate Form (Appendix B).

Rapid Re-housing Assistance

Priority is given to individuals and families who are "literally homeless," unsheltered or in emergency shelters, and to all other individuals and families who meet the definition of "literally homeless" as defined by HUD (Appendix A). Eligible participants meet the Rapid Re-housing Program Participant Eligibility Requirements (Appendix C) in order to receive rapid re-housing assistance.

Rental Assistance

The following policies and Rent Reasonableness Checklist and Certification form (Appendix D) are recommended when determining the duration of rental assistance provided to program participants:

- a. FMR limits, rent reasonableness standards, housing habitability standards, and lead-based paint regulations apply.

- b. Rental assistance agreement (between subrecipient and owner) and written lease agreement (between program participant and owner) are required. (When assistance is for arrears only, an oral lease may serve as documentation under certain conditions.)
- c. Up to 12 months of total assistance may be provided during any 3-year period, including a one-time payment of rental arrears.
- d. Subject to HUD's requirements, subrecipients may establish caps and conditions on the amount of assistance program participants may receive.
- e. Rental assistance cannot be provided to a program participant that is receiving Tenant-Based Rental Assistance or living in a unit receiving Project-Based Rental Assistance or operating assistance through other public sources (exception applies to rental arrears on tenant's portion of rental payment).

To keep a program participant in the same unit, a lead-based paint assessment is not required, when providing homelessness prevention services.

Emergency Shelters Policies

All emergency shelters are responsible for developing their own policies/procedures regarding admission, diversion, referral, and discharge. This includes domestic violence service providers, which adhere to statewide standards for provision of services. In an effort to enhance coordination among providers, the County of Henrico provides the subrecipient a Basic Habitability Checklist (Appendix E) and intends to work with shelter providers and the local Continuum of Care during 2012-13 to develop system-wide policies and procedures where appropriate.

Emergency Shelter Policies for Assessing Participant Needs

All emergency shelters receiving ESG funds will conduct assessments of their participants' needs for essential services with the Prevention Participant Eligibility Requirements form (Appendix F). For most shelters, this will occur at intake or shortly thereafter. Program participants will participate in identifying and prioritizing needs. Unmet needs will be addressed either by the shelter or by other providers of essential services. Reassessment will occur at a frequency determined by each provider. Again, the County of Henrico intends to work with shelter providers and the local Co-continuum of Care during 2012-13 to develop system-wide policies and procedures where appropriate.

Safety Standards for Emergency Shelters

Emergency shelters must comply with HUD's minimum safety standards. These include:

Structure and materials: Building must be structurally sound.

Access: Shelters must be in compliance with federal legislation and regulations associated with the Rehabilitation Act, Fair Housing Act, and Americans with Disabilities Act.

Space and security: With the exception of day shelters, facilities must provide each program participant with an acceptable place to sleep, as well as adequate space and security for themselves and their belongings.

Interior air quality: Each shelter must have natural or mechanical ventilation that provides pollutant free interior air.

Water supply: The shelter's water supply must be free of contamination.

Sanitary facilities: Participants must have access to sanitary facilities that are in proper operating condition, are private, and adequate for personal cleanliness and the disposal of human waste.

Thermal environment: The shelter must have necessary HVAC in proper operating condition.

Illumination and electricity: The shelter must have adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There must be sufficient electrical sources to permit the safe use of electrical appliances.

Food preparation: Food preparation areas must contain suitable space and equipment to store, prepare, and serve food.

Sanitary conditions: The shelter must be maintained in a sanitary condition.

Fire safety: There must be at least one working smoke detector in each occupied unit of the shelter, preferably near sleeping areas. The fire alarm system must be designed for hearing impaired residents. Public areas of the shelter must have at least one working smoke detector, and there must be a second means of exiting the building in the event of fire or other emergency.

Subrecipient Performance Standards and Goals

The County of Henrico will evaluate ESG activities through the following two measurement systems:

- a. Monthly Reporting: This will include participant demographics, programs utilized, and level of essential services provided by the subrecipient.
- b. HMIS: The information in HMIS will be used to determine how well programs are meeting the objectives of ESG.

Subrecipient Performance Goals

Target those who need assistance most: At least 50% of homelessness prevention participants will fit into the high-risk categories.

Reduce the number of people living on the streets or emergency shelters: At least 50% of rapid re-housing participants will either come from the streets **or** other place not meant for human habitation or come from an emergency shelter.

Shorten the time people spend homeless: Rapid re-housing participants will find permanent housing within 30-45 days of the start of services.

Reduce each program participant's housing barriers or housing stability risks: All homelessness prevention and rapid re-housing program participants will complete a Housing Stability Plan, with barriers identified and action steps to reduce them. Upon program exit, all participants will have eliminated at least one barrier to housing stability.

IV. SUBRECIPIENT GRANT DOCUMENTATION REQUIREMENTS

On December 5, 2011, HUD published its final rule on the definition of homelessness in the Federal Register. The new rule went into effect on January 4, 2012 and altered the regulations found in 24 CFR Parts 91, 582, and 583. All programs funded under the Emergency Solutions Grant must use the definition of homelessness and at-risk of homelessness found in HUD's recently updated regulations (Appendix A).

Recordkeeping Requirements for All Participants

All ESG program participants must receive an initial screening, initial eligibility certification, notice of due process rights, housing barrier assessment, housing plan, appropriate referrals, and case management schedule. ESG financial and rental assistance should be targeted to serve residents of Henrico County. Subrecipients are expected to verify residence when verifying other eligibility requirements.

Documentation of Initial Screening

All households seeking homeless assistance must be initially screened through the coordinated or centralized assessment tool such as HMIS. This screening must be completed in a manner that allows for the identification of candidates for prevention services and immediate referral of these households to the appropriate homeless services and/or homeless prevention provider. Note that initial screenings take place when the household is seeking assistance. All households seeking services, regardless of eligibility or ineligibility to any specific program, must receive appropriate referrals.

Ineligible Applicants

Records must be maintained for all households denied service(s). Subrecipients are required to maintain some type of record of all clients that are screened and classified as ineligible for ESG. This must include documentation of the reason(s) for the determination of ineligibility.

Eligible Participants

Certification of homelessness status (Appendix B)is required for all program participants. The subrecipient must use the appropriate forms and obtain third party verification where possible. The

ESG Program targets individuals and families who are homeless and those who are at risk of homelessness (Appendix A). These include households that fall into the following categories:

1. Literally homeless: Individuals and families who lack a fixed, regular, and adequate nighttime residence, including those residing in a shelter or a place not meant for human habitation and those exiting an institution where they resided temporarily
2. At-risk households: Individuals and families who will imminently lose their primary nighttime residence
3. Households fleeing or attempting to flee domestic violence who are either literally homeless or at- risk of homelessness (category one and two above)

Documentation of Due Process Rights

Any individuals seeking and/or receiving ESG assistance must receive written notification of the subrecipient's grievance policy. For those receiving ESG assistance, a signed acknowledgement of this notification must be included in the participant file. Grievance policies must be board approved and provide specific procedures to be followed for any disputed ESG decision impacting ESG assistance.

Termination

The subrecipient may terminate assistance to a program participant who violates program requirements. In terminating assistance to a program participant, the subrecipient must provide a formal process that recognizes the rights of individuals receiving assistance to due process of law. This process, at a minimum, must consist of: (1) Written notice to the program participant containing a clear statement of the reasons for termination; (2) A review of the decision, in which the program participant is given the opportunity to present written or oral objections before a person other than the person (or a subordinate of that person) who made or approved the termination decision; and (3) Prompt written notice of the final decision to the program participant. Subrecipients may resume assistance to a program participant whose assistance was previously terminated.

For Households Receiving Rapid Re-housing Assistance

When households initially receive rapid re-housing assistance they must be literally homeless. Therefore, a signed and completed Homeless Certification Form and any supporting documentation must be included in the file. In addition, rapid re-housing eligibility must be documented with a completed and signed ESG Program Participant Eligibility Requirements Form and appropriate source documentation.

Re-housing financial assistance for more than three months requires recertification of eligibility and includes household income limits. This Recertification Form (Appendix G) must be completed every

three months. No participant may receive more than twelve months of financial assistance over a three-year period.

Recertification requires subrecipient certification and documentary evidence of the following:

- Program participant household income below 30 percent area median income (documented using an Income Evaluation Form meeting the minimum requirements specified by HUD)
- The household lacks the financial resources and support networks needed to maintain housing without ESG rapid re-housing assistance
- Housing stabilization services are being appropriately implemented

For Households Receiving Homelessness Prevention Assistance

A household must be at imminent risk of homelessness according to HUD's definition at 24 CFR 576.2, have income that falls below 30 percent AMI, and have no other resources available in order to be eligible for ESG prevention assistance.

In addition to the income limits stated above, the household must have no more than \$500 in assets (includes all checking, savings, retirement accounts, stocks, bonds, mutual funds, and real estate). This does not include primary, appropriate, and reasonable transportation, pension or retirement funds that cannot be accessed. Subrecipients must use the HUD Published Income Limits and must use HUD's Section 8 income eligibility standards for ESG. All of this must be documented using an Income Evaluation Form meeting the minimum requirements specified by HUD.

Certification of at-risk status and prevention assistance eligibility is required with a completed and signed ESG Program Participant Eligibility Requirements Form and appropriate source documentation.

The three month recertification requirement applies to all households receiving prevention financial assistance. No participant may receive more than twelve months of financial assistance over a three-year period.

Housing Barriers Assessment and Housing Plan

ESG subrecipients must utilize an initial housing barriers assessment and develop a housing plan. In all cases housing barrier assessments and plans must be individualized to identify and address the unique household situation. All plans must be focused first on quickly obtaining permanent housing and secondly on obtaining and maintaining housing stability. Please note that most ESG clients must receive at least monthly case management (certain exceptions may apply for domestic violence shelters). Proof of this case work must be clearly documented in the participant's file.

Documentation of Referrals and Services Provided

All ESG funded programs must be focused on transitioning program participants to housing stability as quickly as possible. Subrecipients must leverage rapid re-housing resources (where available), other services, and mainstream resources to transition all program participants to permanent housing as quickly as possible. Federal regulations require that all of these referrals and other services provided be documented in the program participant's file.

Documentation of Financial Assistance Provided

Copies of all payments or expenditures associated with the program participant must be retained in the participant's file.

- a. The subrecipient must keep copies of the source documents in the program participant files:
 - Copies of invoice, voucher, and pre-numbered check;
 - Each piece of paper must show participant's unique identifier, and proof of review and approval by the appropriate staff (at least initialed and dated).
- b. The subrecipient must maintain proof of processing (e.g. copy of check's backside, bank statement, or photocopy of check's cancellation) for all payments. Please note that while these are not required in the program participant files that they must be readily available for monitoring purposes.
- c. Any ESG funds used to support program participants must be issued directly to the appropriate third party, such as the landlord or utility company, and in no case are funds eligible to be issued directly to program participants. If funds are found to be used for ineligible activities as determined by Henrico County, the subrecipient will be required to reimburse these costs.
- d. Subrecipients must not take measures to recapture any deposit assistance provided to program participants. In the cases where the return of a deposit to the subrecipient is unavoidable, all returned deposits must be tracked as program income. Any resulting program income must be used for ESG eligible activities.

Documentation of Property Standards

Subrecipients must use a Basic Habitability Checklist form (Appendix E) which is signed and completed and included in all program participant records, in order to meet HUD's minimum habitability standards.

Note: that the habitability standards are different from the Housing Quality Standards (HQS). Because the HQS criteria are more stringent than the habitability standards, a subrecipient could use either standard. In contrast to HQS inspections, the habitability standards do not require a certified inspector.

Housing that is occupied by families with children and that was constructed before 1978 must also comply with Lead Based Paint inspection requirements, per the Lead Based Paint Poisoning Prevention Act. Subrecipients must use an approved Lead-Based Paint Visual Assessment Form (Appendix H) that must be completed and included in program participant records. This requirement applies to all households that receive any type of ESG financial assistance.

Documentation of Rent Reasonableness for Rental Assistance

When the subrecipient provides any kind of rental assistance for any portion of a participant's rent, the amount of the rent stated in the lease must meet two standards:

- Rent Reasonableness – rent is equal to or less than that of other similar units in the area
- Fair Market Rent (FMR) – rent (including utilities) is at or below the HUD-established FMR for the unit size in the area

The rental assistance cannot exceed actual rental cost, which must be in compliance with HUD's standard of "rent reasonableness." "Rent reasonableness" defined as: that the total rent charged for a unit must be reasonable in relation to the rents being charged during the same time period for comparable units in the private unassisted market and must not be in excess of rents being charged by the owner during the same time period for comparable non-luxury unassisted units. To make this determination, the subrecipient should consider (a) the location, quality, size, type, and age of the unit; and (b) any amenities, housing services, maintenance and utilities to be provided by the owner. A copy of the HUD Rent Reasonableness Worksheet must be completed and included in the program participant file(Appendix D).

The amount of rental assistance must also be at or below Fair Market Rents (FMR) for the area. Note: the FMR includes utility allowances, and therefore requires subrecipients to utilize the appropriate utility allowance for any utilities that are paid by the program participant separate from rent. Subrecipients will need to utilize an established utility allowance in order to assess FMR limits for rents on units not including all utilities. The subrecipient may use the local housing authority's or VHDA's appropriate regional allowances in order to calculate the rent standard. The actual rent charged for a unit plus the allowance for any utilities that the program participant must pay themselves must not exceed the FMR for the area. The completed FMR Worksheet must be included in the program participant file.

Rental Assistance Agreements and Payments

The client's record must include copies of all leases and rental assistance agreements for the provision of rental assistance, documentation of payments made to owners or agents for the provision of rental assistance, and supporting documentation for these payments, including the date of occupancy by the program participant. This supporting documentation also includes signed, written agreements between

the agency, the participant, and the owner or agent for payments made and received, as well as the duration of the assistance.

Related Federal Mandates Homeless Management Information System (HMIS)

All subrecipients (except for agencies serving victims of domestic violence) are expected to enter all relevant program participant data into the HMIS system, complete periodic data quality checks, and work with their local HMIS administrator to assure that all required reports are submitted to the County of Henrico by the specific due dates. Subrecipients must assure that all HMIS data is complete and accurate. Please note: domestic violence shelters must, in lieu of HMIS, use a comparable database system. Domestic violence shelters are responsible for meeting all HMIS data standards and reporting requirements regardless of the data collection system utilized.

Nondiscrimination and Equal Opportunity Requirements

Subrecipients must make known ESG rental assistance and services are available to all on a non-discriminatory basis. They must ensure that all citizens have equal access to information about ESG, and equal access to the financial assistance and services provided under this program. Among other things, this means that each subrecipient must take reasonable steps to ensure meaningful program access to persons with Limited English Proficiency (LEP), pursuant to Title VI of the Civil Rights Act of 1964, so that persons with Limited English Proficiency have meaningful access to ESG assistance.

Affirmatively Furthering Fair Housing

Subrecipients have a duty to affirmatively further fair housing opportunities for classes protected under the Fair Housing Act. Protected classes include race, color, national origin, religion, sex, disability, and familial status. Examples of affirmatively furthering fair housing include:

- Marketing the program to all eligible persons, including persons with disabilities and persons with limited English proficiency;
- Making buildings and communications that facilitate applications and service delivery accessible to persons with disabilities (see, for example, HUD's rule on effective communications at 24 CFR 8.6);
- Providing fair housing counseling services or referrals to fair housing agencies;
- Informing participants of how to file a housing discrimination complaint, including providing the toll-free number for the Housing Discrimination Hotline: 1-800-669-9777; and
- Recruiting landlords in areas to which housing choice is expanded.

V. HENRICO COUNTY ESG PROGRAM REQUIREMENTS

HUD Monitoring

Henrico County is monitored by HUD to ensure that the County is following ESG program regulations and the Department of Community Revitalization monitors subrecipients to verify that they are following ESG program regulations.

HUD conducts monitoring visits during which time they review and assess the County's compliance with federal regulations, management of its contracts with subrecipients, coordination of County conducted projects and activities, record keeping, accounting and other fiscal management and other aspects of the administration of the programs. During these visits the HUD staff also visits the subrecipients and monitors their compliance, records and other aspects of their activities.

Subrecipient Monitoring

Per program regulations, the ESG Program Manager will monitor each subrecipient once per 12-month period. The purpose of the monitoring visit is to review and assess the subrecipient's compliance with federal regulations, management of contracts, coordination of activities, record keeping, accounting and other fiscal management, and other aspects of the administrations of the programs. An accountant from the Henrico County Department of Finance accompanies the ESG Program Managers on the annual monitoring visits in order to review the financial management aspects of the grant.

The ESG Program Manager coordinates with the Subrecipient to establish a time during which to conduct the monitoring visit. This is finalized with a letter sent to the Subrecipient President/CEO and to the president of the Subrecipient Board of Directors.

Subrecipient Quarterly Performance Report (QPR)

Henrico County requires that ESG subrecipients submit a Quarterly Performance Report (Appendix I) to the ESG Program Manager. The QPR captures demographic data of participants assisted through ESG-funded activities, as well as information on outputs and outcomes achieved. The report is divided into sections:

- Section 1: Types of Programs and Services Provided
- Section 2: Non-Residential Services
- Section 3: Residential Services
- Section 4: Narrative

The QPR is generally due to the Henrico County's ESG Program Manager on the 6th business day or the month of the Contract Term.

Consolidated Annual Performance and Evaluation Report

HUD requires that Henrico County submit a CAPER to HUD within 90 days of the close of the program year. For Henrico County the program year runs from October 1 through September 30th. The Annual Performance Report must be submitted by December 31st. ESG specific items for the CAPER are defined in IDIS.

- PR91 – ESG financial Summary Report.

Integrated Disbursement and Information System (IDIS)

The Integrated Disbursement and Information System (IDIS) is a web-based application that ESG program recipients use to set up the program and activities, commit funds to activities, draw funds, and generate

financial management reports. Instructions on how to use IDIS for the ESG program can be found at: <https://www.hudexchange.info/resource/1857/using-idis-online-for-the-emergency-solutions-grants-esg-program/> (File name: using IDID online for the Emergency Solutions Grants Program)

Match Requirements

ESG requires a dollar-for-dollar match. The subrecipient must make matching contributions to supplement the ESG program in an amount that equals the amount of ESG funds provided by Henrico County. The sub recipient must identify the source of match at the time of applying for ESG.

Matching contributions may be obtained from any source, including any federal source, other than the ESG program, as well as state, local, and private sources. However, the following requirements apply to matching contributions from federal source of funds:

- The subrecipient must ensure the laws governing any funds used as matching contributions do not prohibit those funds from being used to match Emergency Solutions Grant (ESG) funds.
- If ESG funds are used to satisfy the matching requirements of another federal program, then funding from that program may not be used to satisfy the matching requirements under this section.

The overall match requirement is the responsibility of Henrico County to document that matching contributions overall equal the entitlement amount. Subrecipients, including County agencies must document match using the “emergency Solutions Grant Quarterly Matching Funds Report.” This report form is included with the funding agreement for each subrecipient and provided in Appendix K.

HUD Expenditure Requirements

HUD imposes a two-year expenditure deadline for the expenditure of ESG funds. If any funds allocated to a subrecipient are not spent by the end of the Program Year (September 30), Henrico County will decommit them in IDIS and recapture and reallocate those funds to other eligible ESG programs.

ESG Timeliness Requirement	HUD Timeframe
Obligate Funds (Defined as signing of subrecipient contract)	180 Days (from the date HUD signs the Contract)
Reimburse Subrecipient Organizations	30 Days
Expend all ESG Funds	2 Years

Requisition of Funds: Nonprofit Agencies (subrecipients)

Subrecipients must submit a request for payment to the ESG Program Manager (Scott Carter) in order to receive ESG Program expenses. Requests for ESG Program Funds must be made on the Requisition for Disbursement of Funds form (Appendix J). Requests for funds must include necessary supporting documents such as receipts, copies of checks, or other proof of payment to specific vendors.

Requests for payment as described in the subrecipient contract are received by the ESG Program Manager for review and approval.

Once the request is approved, the ESG Program Manager prepares a memorandum to the Account Clerk III requesting payment to the Subrecipient. The memo includes the name of the project, the agency name and address, the amount authorized for payment, the IDIS project activity number, Oracle account number, total allocation, balance of funds remaining, program year, and reason for the request. Attached to the memo are copies of relevant supporting documents. Such documents include the original request from the subrecipient, any receipts or invoices, and any other (non-confidential) documents that were submitted along with the original request for payment.

The Account Clerk III prepares an Invoice Overview (Direct Pay Invoice) in Oracle. Once the Invoice Overview is prepared in Oracle, the Account Clerk III submits the Requisition, supporting documentation, and Invoice Overview distribution page to the Community Development Division Manager for approval. Once the Community Development Division Manager approves the payment he/she submits the payment to the Director or Community Revitalization for approval. After the Director approves the payment, it is returned to the Account Clerk III. The Account Clerk III submits the payment to the Department of Finance. The Department of Finance issues and mails a check to the subrecipient.

Requisition of Funds: County Agencies

Inter-Department Transfers (IDT)

The vast majority of Henrico Department of Social Services (DSS) ESG expenditures will be processed through an IDT.

- Prior to submitting a formal request for payment through Oracle, all payment requests, including supporting documentation, will be provided from DSS Accountant (Mary Charles) or Business Manager (Terry Painter-Beals) to the ESG Program Manager (Scott Carter) for review and approval. This will typically occur weekly.
- ESG Program Manager will coordinate any necessary review within the Department of Community Revitalization (DCR) and will email his confirmation to DSS that the payments are acceptable and may be paid. Any payments not pre-approved will not be paid by DSS.
- On a monthly basis (typically at the end of each month), the DSS Business Manager or Accountant will submit an Inter-Departmental Transfer (IDT) in Oracle to receive reimbursement for payments made. DSS will send an email notification of the IDT to the Community Development Manager (David Sacks). The email notification will contain the IDT number and date of the IDT. The IDT will include supporting documentation.
- The Community Development Manager will forward the IDT information to the ESG Program Manager to confirm it can be paid. The Community Development Manager will approve the IDT in Oracle, print it and submit the hard copy IDT and supporting documentation to the Account Clerk III.

Direct Pay

When this occurs, it will typically involve payments for rent, utilities, etc. This option will typically not be used by DSS.

- The Department of Social Services will enter and approve the Direct Pay in ORACLE.

- The Department of Social Services will print and send the Invoice Overview and the original invoice via in inter-office mail to Pat Nuckols, the DCR Account Clerk III.
- Pat will give the paper work to Scott Carter for his review and approval.
- Scott will give the paperwork to David Sacks to review. After approving David will date and sign the Direct Pay invoice.
- David will return the paperwork to Pat Nuckols to copy, send the original copies to Accounting to be processed, and to be entered into the ACCESS database.

Requisitions

This option will typically not be used by DSS.

- When the Department of Social Services (DSS) creates a requisition using CDBG funding in ORACLE, DSS staff will select “Henrico PO DATA ENTRY CDBG” responsibility. This will ensure that the requisition flows to David Sacks in Community Revitalization who is the final approver for these requisitions.
- DSS staff should NOT select “DSS IP Data entry” responsibility to enter CDBG requisitions. All employees that enter CDBG requisitions are to be informed of this requirement. If employees need this ORACLE selection set up they should contact Maurine Wolfgang at 501-4331 or email wol04.
- Supporting documentation should be attached to the requisition in ORACLE.

Partial Payments or Final Purchase Order Payments

This option will typically not be used by DSS.

- The Department of Social Services will enter the Partial Payment or Final Payment in ORACLE.
- The Department of Social Services will print and send the Invoice Overview and the original invoice in inter-office to Pat Nuckols.
- Pat will give the paper work to Scott Carter for his review and approval.
- Scott will give the paperwork to David Sacks to review. After approving David will date and sign the Partial Payment or Final Payment invoice.
- David will give the paperwork to Pat Nuckols to copy, send the original copies to Accounting to be processed, and to be entered into the ACCESS database.

VI. APPENDICES

- A. Criteria for Defining Homeless and at Risk Homelessness**
- B. Homeless Certification Form**
- C. Rapid Re-housing Program Participant Eligibility Requirements**
- D. Rent Reasonableness Checklist and Certification**
- E. Basic Habitability Checklist**
- F. Prevention Participant Eligibility Requirements**
- G. Recertification Form**
- H. Lead-Based Paint Visual Assessment**
- I. Quarterly Performance Report**
- J. Requisition for Disbursement of Funds**
- K. Quarterly Matching Funds Report**

CRITERIA FOR FOR DEFINING HOMELESS AND AT RISK FOR HOMELESSNESS

CRITERIA FOR DEFINING HOMELESS

Category 1	Literally Homeless	(1) Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning: (i) Has a primary nighttime residence that is a public or private place not meant for human habitation; (ii) Is living in a publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state and local government programs); or (iii) Is exiting an institution where (s)he has resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution
Category 2	Imminent Risk of Homelessness	(2) Individual or family who will imminently lose their primary nighttime residence, provided that: (i) Residence will be lost within 14 days of the date of application for homeless assistance; (ii) No subsequent residence has been identified; and (iii) The individual or family lacks the resources or support networks needed to obtain other permanent housing
Category 3	Homeless under other Federal statutes	(3) Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who: (i) Are defined as homeless under the other listed federal statutes; (ii) Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the homeless assistance application; (iii) Have experienced persistent instability as measured by two moves or more during in the preceding 60 days; and (iv) Can be expected to continue in such status for an extended period of time due to special needs or barriers
Category 4	Fleeing/ Attempting to Flee DV	(4) Any individual or family who: (i) Is fleeing, or is attempting to flee, domestic violence; (ii) Has no other residence; and (iii) Lacks the resources or support networks to obtain other permanent housing

Criteria for Defining at Risk of Homelessness

<p>Category 1</p>	<p>Individuals and Families</p>	<p>An individual or family who:</p> <ul style="list-style-type: none"> (i) Has an annual income below 30% of median family income for the area; AND (ii) Does not have sufficient resources or support networks immediately available to prevent them from moving to an emergency shelter or another place defined in Category 1 of the “homeless” definition; AND (iii) Meets one of the following conditions: <ul style="list-style-type: none"> (A) Has moved because of economic reasons 2 or more times during the 60 days immediately preceding the application for assistance; OR (B) Is living in the home of another because of economic hardship; OR (C) Has been notified that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance; OR (D) Lives in a hotel or motel and the cost is not paid for by charitable organizations or by Federal, State, or local government programs for low-income individuals; OR (E) Lives in an SRO or efficiency apartment unit in which there reside more than 2 persons or lives in a larger housing unit in which there reside more than one and a half persons per room; OR (F) Is exiting a publicly funded institution or system of care; OR (G) Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient’s approved Con Plan
<p>Category 2</p>	<p>Unaccompanied Children and Youth</p>	<p>A child or youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under another Federal statute</p>
<p>Category 3</p>	<p>Families with Children and Youth</p>	<p>An unaccompanied youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under section 725(2) of the McKinney-Vento Homeless Assistance Act, and the parent(s) or guardian(s) or that child or youth if living with him or her.</p>

HOMELESS CERTIFICATION FORM

Applicant Name and Unique Identifier: _____

Staff Member Name: _____

Household without dependent children (complete one form for each adult in the household)

Household with dependent children (complete one form for household)

Number of persons in the household: _____

This is to certify that the above named individual or household is currently either literally or imminently homeless based on the check mark, other indicated information, and signature indicating their current living situation. Check the appropriate type of documentation used to verify homelessness and attach it to this worksheet

CHRONICALLY HOMELESS CERTIFICATION

Please continue to the General Homeless Certification after selecting "Yes" or "No"

CHRONICALLY HOMELESS: Yes No

Individual or family:

- (i) Has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least one year or on at least four separate occasions in the last three years; **and**
- (ii) Has an adult head of household (or a minor head of household if no adult is present in the household) with a diagnosable substance use disorder, serious mental illness, developmental disability (as defined in Section 102 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (42 U.S.C. 15002)), post-traumatic stress disorder, cognitive impairments resulting from a brain injury, or chronic physical illness or disability, including the co-occurrence of 2 or more of those conditions.

GENERAL HOMELESS CERTIFICATION

Complete with information on the primary cause of homelessness

Homeless Status	Type of Eligible Documentation	Documentation/Eligibility
LITERAL HOMELESSNESS (RAPID RE-HOUSING ELIGIBLE)		
<input type="checkbox"/> Persons living on the street or sleeping in a place not designed for or ordinarily used as a regular sleeping accommodation	<ul style="list-style-type: none"> Signed and dated written certification by person seeking services Signed and dated written certification by an outreach worker 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<input type="checkbox"/> Persons living in a shelter designed to provide temporary living	<ul style="list-style-type: none"> HMIS shelter record Written referral from previous shelter staff 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

	<p>arrangements</p> <ul style="list-style-type: none"> - congregate/scattered site emergency shelters - transitional housing - hotels/motels paid for by a charitable organization or government program 	<ul style="list-style-type: none"> • Written referral from charitable organization or government program 	
<input type="checkbox"/>	Persons exiting an institution where they resided for 90 days or less and resided in a place not meant for human habitation immediately before entering institution	<ul style="list-style-type: none"> • HMIS shelter record • Written referral from previous shelter staff • Written referral from institution 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<input type="checkbox"/>	Persons fleeing domestic violence. *Must meet one of the homeless status categories listed above*	<ul style="list-style-type: none"> • Written, signed and dated verification from the participant • Written, signed and dated verification from the domestic violence service provider. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	IMMINENT RISK OF HOMELESSNESS (PREVENTION/DIVERSION ELIGIBLE)		
<input type="checkbox"/>	<p>Person will imminently lose primary nighttime residence within 14 days and meets both of the following circumstances</p> <ul style="list-style-type: none"> - No appropriate subsequent housing options have been identified - Household lacks the financial resources and support networks needed to obtain immediate housing or remain in its existing housing 	<ul style="list-style-type: none"> • Documentation of efforts to divert from homelessness (contact with prevention provider)—Notate in case file • Eviction letter from tenant/homeowner (If living with another, i.e. doubled up) • Letter from hotel/motel manager and cancelled checks to verify costs covered by the participant • Court order/eviction notice 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<input type="checkbox"/>	Persons fleeing domestic violence	<ul style="list-style-type: none"> • Written, signed and dated verification from the participant • Written, signed and dated verification from the domestic violence service provider. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Rapid Re-housing Program Participant Eligibility Requirements*This form is required for all rapid re-housing assistance.*

Head of Household Full Name: _____

Date Completed: _____

Program participants must identify all subsidy or assistance received within the past six months. VHSP assistance must not be provided in the same cost category when subsidies by any other source (e.g., Section 8) are being provided.

Participant is receiving tenant or project-based rental assistance, excluding rental arrearages, through other public sources for the same time period and/or cost type (**document in client file--ineligible for VHSP assistance**)

Participant is **NOT** receiving tenant or project-based rental assistance through other public sources for the same time period and/or cost type (**document in client file**)

Comments/Notes:

Overall Minimum Requirements

In order to receive rapid re-housing financial assistance or services funded by VHSP, individuals and families must meet the following minimum requirements. Please check if applicable:

Completed Initial Evaluation/Intake

The household meets both of the following circumstances:

No appropriate subsequent housing options have been identified; **AND**

The household lacks the financial resources and support networks needed to obtain immediate housing or remain in its existing housing; **AND**

Meets at least one of the following risk factors:

Living in a publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels/motels paid for by charitable organizations or by federal, state, and local government programs); **OR**

Sleeping in a place not meant for human habitation, such as cars, parks, abandoned buildings, streets/sidewalks; **OR**

Exiting an institution for 90 days or less and was sleeping in an emergency shelter or other place not meant for human habitation (cars, parks, streets, etc.) immediately prior to entry before entering that institution; **OR**

Fleeing or attempting to flee domestic violence (must meet one of the above mentioned risk factors as well)

All supporting documentation for project participant eligibility must be readily available in client records and case notes. Third-party verification must be provided and is the preferred method of certifying homelessness for an individual who is applying for VHSP assistance.

Determination of Program Eligibility Completed By (name of staff):

PRINT NAME OF STAFF PERSON

STAFF PERSON SIGNATURE

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

PRINT NAME OF PROGRAM PARTICIPANT

PROGRAM PARTICIPANT SIGNATURE

Date: _____

Appendix D

RENT REASONABLENESS CHECKLIST AND CERTIFICATION

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

CERTIFICATION:

A. Compliance with Payment Standard

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

Approved rent does not exceed applicable Payment Standard of

\$_____.

B. Rent Reasonableness

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

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

Basic Habitability Checklist

Unit or Shelter Address
(include street address, city and zip code)

Grantee Name (if shelter) or
Landlord/ Property-owner Contact Information
(include name, company name, mailing address and phone number)

	YES	NO
<u>State and local codes.</u> Unit is compliant with all applicable state and local housing codes, licensing requirements, and any other requirements in the jurisdiction regarding the condition of the structure and the operation of the housing or services.		
<u>Structure and materials.</u> The unit is structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the residents from the elements.		
1. <u>Access.</u> Where applicable, the shelter is accessible in accordance with: <ul style="list-style-type: none"> a. Section 504 of the Rehabilitation Act (29 U.S.C. 794) and implementing regulations at 24 CFR part 8; b. The Fair Housing Act (42 U.S.C. 3601 et seq.) and implementing regulations at 24 CFR part 100; and Title II of the Americans with Disabilities Act (42 U.S.C. 12131 et seq.) and 28 CFR part 35.		
<u>Space and security.</u> Each resident is afforded adequate space and security for themselves and their belongings. Each resident must be provided an acceptable place to sleep.		
<u>Interior air quality.</u> Every room or space has natural or mechanical ventilation. Unit is free of pollutants in the air at levels that threaten the health of residents.		
<u>Water supply.</u> The water supply is free from contamination.		
<u>Sanitary facilities.</u> Residents have access to sufficient sanitary facilities that are in proper operating condition, may be used in privacy, and are adequate for personal cleanliness and the disposal of human waste.		
<u>Thermal environment.</u> The unit has adequate heating and/or cooling facilities in proper operating condition.		
<u>Illumination and electricity.</u> The unit has adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of residents. There are sufficient electrical sources to permit the use of essential electrical appliances while assuring safety from fire.		
<u>Food preparation and refuse disposal.</u> All food preparation areas contain suitable space and equipment to store, prepare, and serve food in a sanitary manner.		
<u>Sanitary condition.</u> The unit and any equipment are maintained in sanitary condition.		
<u>Fire safety.</u> Each unit includes at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors are located, to the extent practicable, in a hallway adjacent to a bedroom. If the unit is occupied by hearing impaired persons, smoke detectors have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person.		
<u>Fire safety.</u> The public areas of all units must be equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, community rooms, day care centers, hallways, stairwells, and other common areas.		

Agency Name

Agency Staff Name

Signature

Date

Tenant (if applicable)

Name

Date

Signature

Landlord / Property-owner (if applicable)

Name

Date

Signature

Prevention Participant Eligibility Requirements
This form is required for all prevention assistance.

Head of Household Full Name: _____

Date Completed: _____

An individual or family: (must have income **below** 30% percent AMI, lacks sufficient resources & meets one of the following risk factors)

Prioritization: Individuals or families that were formerly homeless whom also meet the risk factors for imminent homelessness.

Completed Initial Evaluation/Intake

Household income, based on Section 8 income eligibility standards, is **below** 30 percent Area Median Income (AMI). *Include a copy of income eligibility determination completed worksheet found at: <http://www.hud.gov/offices/cpd/affordablehousing/library/modelguides/2005/1780.pdf> (see page 25). This must be signed by program participant. The Area Median Income Limits are found at <http://www.huduser.org/DATASETS/il.html> (Please note \$500 limit on assets –documentation required)*
; AND

Household Size (all adults/children): _____

30% of Area Median Income for Household Size: \$_____

Total Household Annual Gross Income: \$_____

The household lacks the financial resources and support networks needed to prevent them from becoming literally homeless; **AND**

Meets one of the following risk factors of imminent homelessness with acceptable documentation:

Housing loss within 14 days – has been notified of their right to occupy their current housing or living situation will be terminated within 14 days after the date of application for assistance: notification to leave within 14 days must be written and only third party source/written is appropriate (must document 1 of the following criteria):

If tenant: eviction notice, court order to leave within 14 days; **or**

If living with another (doubled up): eviction letter from tenant/homeowner; **or**

If living in a hotel/motel: letter from hotel/motel manager and cancelled checks to verify costs covered by the participant

Household may also receive assistance if meets one of the following at-risk of homelessness factors with acceptable documentation:

Persistent housing instability - has moved because of economic reasons 2 or more times during the 60 days immediately preceding the application for assistance **(must document the following 2 criteria)**:

Housing history must demonstrate 2 or more moves within 60 days: documentation may include HMIS records, referral from housing/service provider, letter from tenant/owner (*intake observation not appropriate*); **and**

Economic reasons may include termination from employment, unexpected medical costs, inability to maintain housing including utilities, etc: documentation may include notice of termination, healthcare bills indicating arrears, utility bills indicating arrears (*intake observation not appropriate*).

Living in the home of another person/individual because of economic hardship **(must document the following 2 criteria)**:

Housing must be in the home of another (i.e., doubled up): documentation may include letter from tenant/homeowner (*intake observation may be appropriate*); **and**

Economic reasons may include termination from employment, excessive medical costs, inability to maintain housing including utilities, etc: documentation may include notice of termination, healthcare bills indicating arrears, utility bills indicating arrears (*intake observation not appropriate*).

Discharge from a public institution or system of care (including prisons, mental health institutions, and hospitals) **(must document 1 of the following criteria)**:

Source documentation (i.e., discharge paperwork); **or**

Referral letter

Residency in housing that has been condemned by housing officials and is no longer meant for human habitation **(must document 1 of the following criteria)**:

Source documentation (i.e., letter); **or**

Intake Observation

Living in a rented hotel or motel and cost is not paid for by charitable organization or by Federal, State, or local government programs for low-income individuals **(must document the following 2 criteria)**:

Housing must be in a hotel/motel: documentation may include either letter from hotel/motel manager or intake observation; **and**

Costs have not been covered by charitable organization or government program: documentation – cancelled check.

I certify that the program participant has received no other rental subsidy or assistance for the same time period and cost type, excluding rental arrearages, within the past six months.

Determination of Project Eligibility Completed By (name of staff):

PRINT NAME OF STAFF PERSON

STAFF PERSON SIGNATURE

I certify that no other rental subsidy or assistance has been received for the same time period and cost type, excluding rental arrearages, within the past six months. I also certify that any other information I have provided in applying for VHSP assistance is true, accurate and complete.

PRINT NAME OF PROGRAM PARTICIPANT

PROGRAM PARTICIPANT SIGNATURE

RECERTIFICATION FORM

Households receiving Prevention and Rapid Re-Housing Rental Assistance must be recertified at least every 90 days. At the end of each recertification, the case manager must attach the new evidence to this form documenting the household is still eligible for the program. Housing Stabilization services, such as case management, can be provided after the term of a program participant's rental assistance expires. The client must be re-certified for case management services after 12 months.

Program Participant Name (s): _____

Client is enrolled in: Prevention Program (must have income below 30% AMI)
 Rapid Re-Housing Program (must have income below 30% AMI)
 Housing Stabilization Services/Case Management

Date of Entry Into Program: _____ Case Manager: _____

Number of Months (Including Arrears) Household has received rental assistance: _____

Date of this Re-Certification: _____

Household Size: _____

30% of Area Median Income for Household Size: \$ _____

Total Household Annual Gross Income: \$ _____

INCOME

Household income, based on Section 8 income eligibility standards, is **below** 30 percent Area Median Income (AMI). *Include a copy of income eligibility determination completed worksheet found at: <http://www.hud.gov/offices/cpd/affordablehousing/library/modelguides/2005/1780.pdf> (see page 25). This must be signed by program participant. The Area Median Income Limits are found at <http://www.huduser.org/DATASETS/il.html>*

Household income, based on Section 8 income eligibility standards, is **at or above** 30 percent Area Median Income (AMI)—**Households with an income that is at 30% AMI or higher are no longer eligible to receive VHSP financial assistance**

RESOURCES: Staff must document the lack of resources, BUT FOR VHSP financial assistance (example, bank savings/statements, medical bills, etc.) for the clients who are receiving on-going VHSP assistance.

No appropriate subsequent housing options have been identified and the household lacks the financial resources and support networks needed to prevent them from becoming literally homeless-- **Households with more than \$500 in assets are no longer eligible to receive VHSP rental assistance**

Subsequent housing options have been identified and the household has the financial resources and support networks needed to prevent them from becoming literally homeless—**Households with more than \$500 in assets are no longer eligible to receive VHSP rental assistance**

HOUSING STABILITY GOALS

Household agrees to work on the following goals to ensure a stable housing outcome:

1. _____
2. _____
3. _____

STAFF CERTIFICATION: (please check one)

- Household Eligible for additional rental assistance
- Household Ineligible for additional rental assistance

- Household Eligible for additional case management services
- Household Ineligible for additional case management services

If ineligible for financial and/or case management services, please list community based agencies that the household can access for further support.

1. _____
2. _____
3. _____

Staff Signature: _____ Date: _____

Program Participant Signature: _____ Date: _____

Documentation proving the statements on this form MUST be attached. The lack of support networks should be notated within the client file. Subsequent recertification forms and evidence should be kept in the client file.

Lead-Based Paint Visual Assessment	
<p><i>All units in which program participants reside are subject to Lead-Based Paint requirements. This form must be completed and included in each program participant file. Individuals completing this form must complete the online HUD http://www.hud.gov/offices/lead/training/visualassessment/h00101.htm training.</i></p>	
Program Participant Name: _____	
Property Address: _____	
Property Owner Name: _____	
<p>Check all that apply:</p> <p><input type="checkbox"/> Property was built after 1978 Year Property Built: _____</p> <p><input type="checkbox"/> No child under 6 lives with program participant</p> <p><input type="checkbox"/> Property is zero bedrooms, SRO housing, elderly housing</p> <p><input type="checkbox"/> Property has been tested and determined to not to contain lead-based paint (attach documentation)</p> <p><input type="checkbox"/> Property has had lead-based paint hazards removed (attach documentation)</p>	
<p><input type="checkbox"/> If any items are checked above, no visual assessment is required. Please include appropriate signatures (agency and program participant) and date.</p> <p><input type="checkbox"/> No items are checked above (Visual Assessment required)</p>	
<p>Interior: Is there any peeling, chipping, chalking, or cracking paint?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO</p>	<p>Interior: Deterioration exceeds the de minimis level?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA</p>
<p>Exterior: Is there any peeling, chipping, chalking, or cracking paint?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO</p>	<p>Exterior: Deterioration exceeds the de minimis level?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA</p>
<p>Common Areas: Is there any peeling, chipping, chalking, or cracking paint?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA</p>	<p>Common Areas: Deterioration exceeds the de minimis level?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA</p>

Describe Any Action Taken:	
Program Participant: _____	
_____ Signature	_____ Date
Property Owner Name: _____	
_____ Signature	_____ Date
Program Staff Name: _____	
_____ Signature	_____ Date

QUARTERLY PERFORMANCE REPORT EMERGENCY SOLUTIONS GRANT (ESG) SUBRECIPIENTS

Subrecipient Agency Name: _____

Contact Person and Phone Number: _____

Project Name: _____ Quarter: 1 2 3 4 YEAR END

Type of programs and services (check all that apply):

- Emerg. Shelter Facilities _____ Transitional Shelter _____
- Vouchers for Shelters _____ Outreach _____
- Drop - in Center _____ Health Care _____
- Soup kitchen/meal distrib _____ Food Pantry _____
- Mental Health _____ HIV/AIDS Services _____
- Alcohol/drug Program _____ Employment _____
- Homeless Prevention _____ Child Care _____
- Other _____

=====

Non-Residential Services:

Number of persons served quarterly/yearly: _____

Race (this should equal number of adults and children served quarterly/yearly):

- White _____ Black/African Am. _____
- Asian _____ Am. Indian/Alaskan Native _____
- Native Hawaiian/Other Pacific Is. _____ Am. Indian/Alaskan Native & White _____
- Asian & White _____ Black/African Am. & White _____
- Am. Indian/Alaskan Native & Black/African Am. _____
- Other Multi-Racial _____

- Hispanic _____

=====

Residential Services:

Number of Adults Served Quarterly/Yearly: _____

Number of Children Served Quarterly/Yearly: _____

Race (this should equal number of adults and children served quarterly/yearly):

- White _____ Black/African Am. _____
- Asian _____ Am. Indian/Alaskan Native _____
- Native Hawaiian/Other Pacific Is. _____ Am. Indian/Alaskan Native & White _____
- Asian & White _____ Black/African Am. & White _____
- Am. Indian/Alaskan Native & Black/African Am. _____

Other Multi-Racial_____

Hispanic_____

Type of Shelter/Facility (this should equal number of persons served quarterly/yearly):

Barracks_____Group/Large House_____

Mobile home/Trailer_____Hotel/Motel_____

Scattered Site Apt._____Single Room Occupancy_____

Single Family Detached House__ Other_____

Number of Unaccompanied 18 and over Male:_____Female:_____

Number of Unaccompanied under 18 Male:_____Female:_____

Number of Families with Children Headed by:

Single 18 and over Male:_____Female:_____

Single 18 and under Male:_____Female:_____

Two Parents 18 and over:_____Two Parents Under 18:_____

Number Families with no Children:_____

Number of persons served who are:

Victim of Domestic Violence:___ Chronically homeless:___

Severely Mentally Ill:_____ HIV/AIDS:_____

Chronic Substance Abuse:_____ Elderly:_____

Veterans:_____ Other Disability:_____

=====

Narrative:

Funding Sources (to be filled in at the end of the year):

Include funding specifically for this project/program by funding source e.g. United Way, Philip Morris, CoC etc. and amount

ESG:

Other Federal:

Local Gov:

Private:

Fees:

Other: _____

Total:

County of Henrico

Emergency Solutions Grant Program Requisition for Disbursement of Funds

Agency Name and Address: _____

Project Name: _____

Type of Disbursement: Initial Progress Final

Instructions: In an attachment, clearly identify by description all items for which reimbursement funds are requisitioned.

The undersigned hereby requests the County of Henrico to disburse funds as provided by the Subrecipient Agreement.

Monthly Funding Report	Amount Requested	Amount Approved <small>(County use only)</small>
1. Total Contract ESG Program Funds	\$	
2. ESG Funds Expended to date	\$	
3. Unobligated ESG Balance		
5. Requested Amount	\$	\$

ESG Program funds per this request represent _____% of total project funding.

To the best of our knowledge, information and belief the sum requested is now payable. The undersigned hereby certifies that all of the above items have been paid or will be paid within three days of receipt of the requisitioned funds. We hand you herewith full supporting invoices and/or receipts, as required, covering such items enumerated for your review. The undersigned certifies that all prior work, labor and materials to be paid for under this request are satisfactory and are in accordance with the contract. The undersigned further certifies that liability insurance as requested by the County of Henrico is in full force and effect..

Signature of Preparer _____ Date _____

Signature of Authorized Official _____ Date _____

**EMERGENCY SOLUTIONS GRANT
QUARTERLY MATCHING FUNDS REPORT**

SUBRECIPIENT: _____

PROJECT: _____

PERIOD COVERED: (check one)

- Oct 1, 2014 - Dec 31, 2014 (1st quarter)
- Jan 1, 2015 - March 31, 2015 (2nd quarter)
- April 1, 2015 - June 30, 2015 (3rd quarter)
- Oct 1, 2014 - Sept 30, 2015 (12-month, end of year)

Type of Expense	ESG Expenditures	Expenditures from Other sources (Match)	Total Expenditures
	\$	\$	\$
Total Expenditures	\$	\$	\$

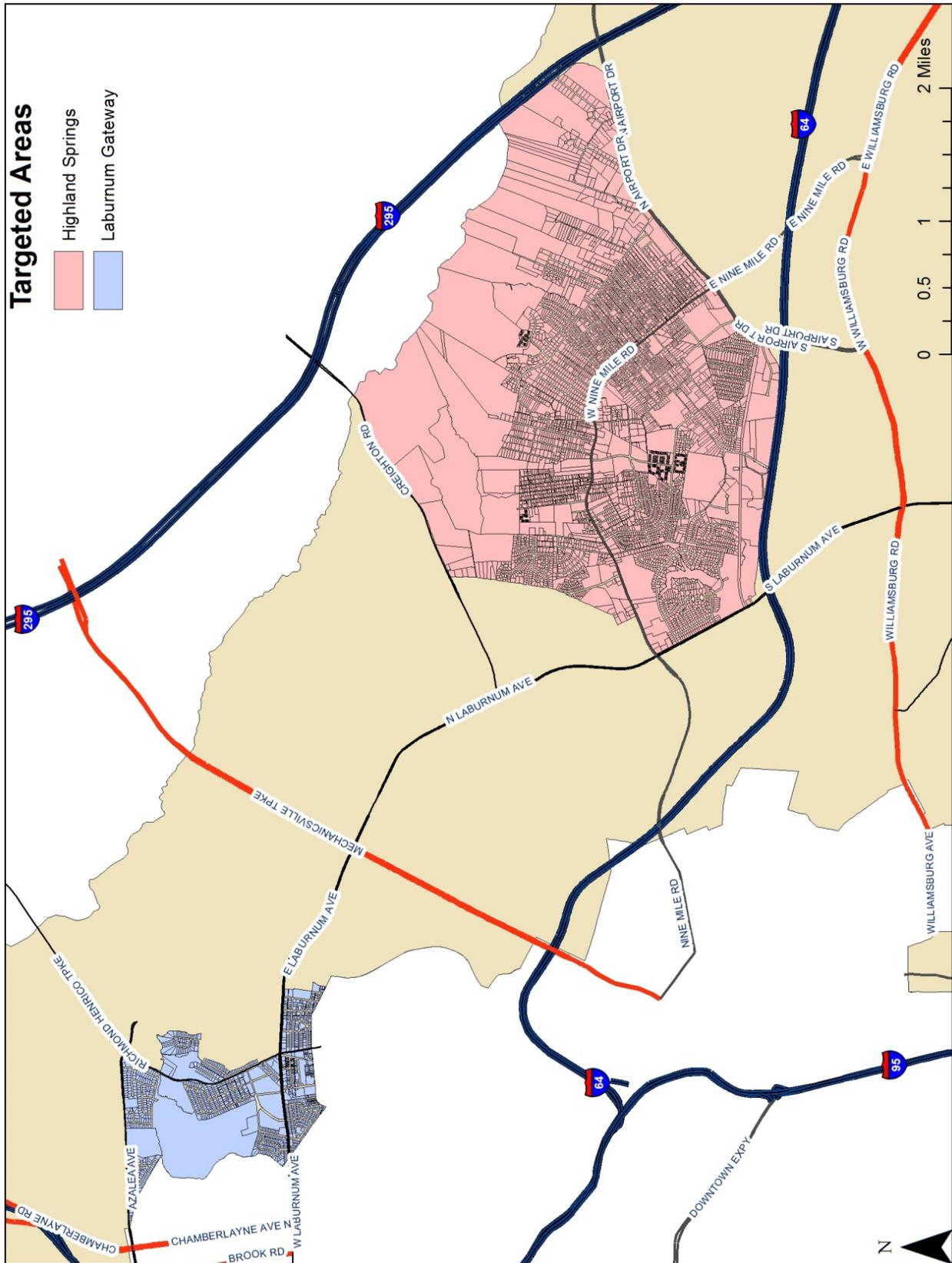
SOURCE OF MATCHING FUNDS LISTED ABOVE

Source	Amount
	\$
Total of all Sources	\$

Matching Funds Reports are due to the Henrico County ESG Program Manager within 20 days following the end of the quarter. (January 20, April 20, July 20, and October 20).

10/1/2014

Appendix G – Targeted Areas



Appendix H – Agencies Provided County General Funds

The following agencies serve low and moderate-income persons are provided County general funds through the non-departmental budget in the amounts listed for FY 2016-17.

Better Housing Coalition \$32,805
CARITAS \$32,805
CASA (Court Appointed Special Advocates) 3,789
Children's Hospital 1,314
Community Brain Injury Services (Mill House) 17,217
Cultural Arts Center at Glen Allen 550,000
FeedMore (Meals on Wheels, Cent. Va. Foodbank) 18,954
FISH (Eastern Henrico County) 26,244
Ginter (Lewis) Botanical Garden 98,415
Henrico Community Partners 2,300
Henrico Police Athletic League 19,683
Hilliard House 41,337
Homeward 10,269
Read Center, The Literacy 16,407
Resources for Independent Living 36,162
Richmond Area ARC (Camp Baker) 6,561
Safe Harbor 17,091
Salvation Army 15,489
Senior Connections (CAAA) 35,334
St. Joseph's Villa (Flagler Home) 0 34,174
The Healing Place 10,000
YWCA 20,520

Form SF 424 and Non-State Grantee Certifications

Application for Federal Assistance SF-424

* 1. Type of Submission:

- Preapplication
 Application
 Changed/Corrected Application

* 2. Type of Application:

- New
 Continuation
 Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

08/15/2016

4. Applicant Identifier:

5a. Federal Entity Identifier:

54-600134

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

County of Henrico

* b. Employer/Taxpayer Identification Number (EIN/TIN):

54 6001344

* c. Organizational DUNS:

0747355150000

d. Address:

* Street1:

P.O. Box 90775

Street2:

4301 E. Parham Road

* City:

Richmond

County/Parish:

Henrico

* State:

VA: Virginia

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

23273-0775

e. Organizational Unit:

Department Name:

Community Revitalization

Division Name:

Community Development

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

Mr.

* First Name:

David

Middle Name:

M.

* Last Name:

Sacks

Suffix:

Title:

Community Development Manager

Organizational Affiliation:

Local Government

* Telephone Number:

(804) 501-7611

Fax Number:

(804) 501-7630

* Email:

david.sacks@henrico.us

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

14.218

* Title:

Community Development Block Grant program for Entitlement Communities

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Community Development Block Grant (CDBG)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="1,538,617.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="1,538,617.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes
- No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

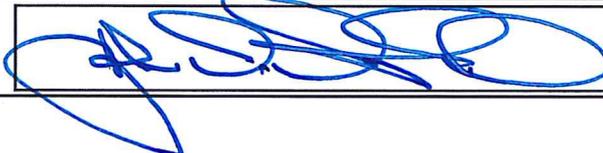
Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:



* Date Signed:

7/7/16

Application for Federal Assistance SF-424*** 1. Type of Submission:**

- Preapplication
 Application
 Changed/Corrected Application

*** 2. Type of Application:**

- New
 Continuation
 Revision

*** If Revision, select appropriate letter(s):**

*** Other (Specify):**

*** 3. Date Received:**

08/15/2016

4. Applicant Identifier:

5a. Federal Entity Identifier:

54-600134

5b. Federal Award Identifier:

State Use Only:**6. Date Received by State:**

7. State Application Identifier:

8. APPLICANT INFORMATION:*** a. Legal Name:**

County of Henrico

*** b. Employer/Taxpayer Identification Number (EIN/TIN):**

54 6001344

*** c. Organizational DUNS:**

0747355150000

d. Address:*** Street1:**

P.O. Box 90775

Street2:

4301 E. Parham Road

*** City:**

Richmond

County/Parish:

Henrico

*** State:**

VA: Virginia

Province:

*** Country:**

USA: UNITED STATES

*** Zip / Postal Code:**

23273-0775

e. Organizational Unit:**Department Name:**

Community Revitalization

Division Name:

Community Development

f. Name and contact information of person to be contacted on matters involving this application:**Prefix:**

Mr.

*** First Name:**

David

Middle Name:

M.

*** Last Name:**

Sacks

Suffix:

Title:

Community Development Manager

Organizational Affiliation:

Local Government

*** Telephone Number:**

(804) 501-7611

Fax Number:

(804) 501-7630

*** Email:**

david.sacks@henrico.us

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

14.239

* Title:

HOME Investment Partnerships Program

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

HOME Investment Partnerships (HOME)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="654,655.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="654,655.00"/>

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*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

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Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

Application for Federal Assistance SF-424

* 1. Type of Submission:

- Preapplication
 Application
 Changed/Corrected Application

* 2. Type of Application:

- New
 Continuation
 Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

08/15/2016

4. Applicant Identifier:

5a. Federal Entity Identifier:

54-600134

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

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8. APPLICANT INFORMATION:

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* b. Employer/Taxpayer Identification Number (EIN/TIN):

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Organizational Affiliation:

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* Telephone Number:

(804) 501-7611

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david.sacks@henrico.us

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

14.231

* Title:

Emergency Solutions Grant Program

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Emergency Solutions Grant (ESG)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="141,855.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="141,855.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
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- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

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Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

CERTIFICATIONS

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

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

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

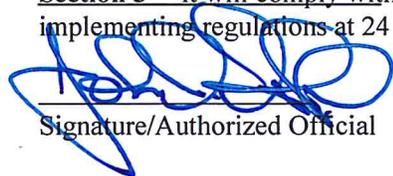
Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

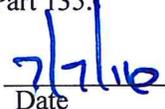
1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the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

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

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

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


Signature/Authorized Official


Date

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. Overall Benefit. The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 2015 , 2016 (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its

jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, subparts A, B, J, K and R;

Compliance with Laws -- It will comply with applicable laws.



Signature/Authorized Official



Date

County Manager
Title

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

Eligible Activities and Costs -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

Appropriate Financial Assistance -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;



Signature/Authorized Official



Date

County Manager
Title

ESG Certifications

The Emergency Solutions Grants Program Recipient certifies that:

Major rehabilitation/conversion – If an emergency shelter’s rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the jurisdiction will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the jurisdiction serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

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

Supportive Services – The jurisdiction will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.

Matching Funds – The jurisdiction will obtain matching amounts required under 24 CFR 576.201.

Confidentiality – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

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

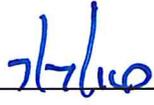
Consolidated Plan – All activities the jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction’s consolidated plan.

Discharge Policy – The jurisdiction will establish and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from

publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.



Signature/Authorized Official



Date

County Manager
Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING:

A. Lobbying Certification

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