

2023 ANNUAL ACTION PLAN

For the State of Utah HOPWA, ESG, HOME, HTF, and CDBG programs

Executive Summary

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

1. Introduction

This 2023 Annual Action Plan has been prepared by the Utah Department of Workforce Services (DWS), Housing and Community Development Division (HCD), and Utah Office of Homeless Services to document the goals and priorities of the Utah Small Cities Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG), HOME Investment Partnership Program (HOME), National Housing Trust Fund (HTF) and Housing Opportunities for Persons with Aids (HOPWA) programs for the program year 2023. Funding is allocated to Utah from the U.S Department of Housing and Urban Development (HUD) through formula block grants. Community development, homeless services and housing needs are determined at the state and local levels.

- CDBG awards are determined by the seven regional associations of governments (AOG) and submitted to the state for review.
- ESG and HOPWA funding requests are reviewed and approved by the Utah Homelessness Council, based on input by Local Homeless Council's (LHC), Continuum of Care's (CoC), and the Utah Homeless Network (UHN).
- HOME and HTF funding has prioritized the funding of new construction or rehabilitation of affordable housing. Funding decisions are made by the Olene Walker Housing Loan Fund (OWHLF) Board.

This plan summarizes the types of projects that will be carried out to meet state and regional goals, objectives and priorities.

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.

HCD's objectives are to create safe affordable housing and promote sustainable communities throughout Utah. The priorities identified in this plan can be found in section SP-25. They include a focus on the funding of new affordable housing projects, an investment in community infrastructure and

services, and various efforts targeting homelessness including making homelessness brief, rare, and non-recurring.

3. Evaluation of past performance

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

The Office of Homeless Services (OHS) and Housing and Community Development Division (HCD) reviewed Annual Action Plans and the Consolidated Annual Performance Reports (CAPERs) submitted to HUD under the 2020-2024 Consolidated Plan for evaluation of HOME, HTF, CDBG, ESG and HOPWA past performance. The CAPERs provide an evaluation of past performance and indicate accomplishments in relation to established goals and priorities. Utah's Annual Action plans and CAPERs can be found at: <https://www.hudexchange.info/programs/consolidated-plan/con-plans-aaps-capers/>.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

HCD has gone to great lengths to ensure broad citizen participation and extensive consultation with community partners.

In regards to the Community Development Block Grant (CDBG) program sections of this plan, the state consulted directly with the six AOGs and Wasatch Front Regional Council (WFRC). CDBG funding was provided to each of the AOGs and WFRC to consult with the towns, cities and counties to prepare a regional community development and housing needs assessment. Public hearings were held in each region to review the plans prior to submitting to the state for incorporation into the final state Consolidated Plan.

In regards to the citizen participation process for this PY23 Annual Action Plan, HCD posted a notice on the State Public Notice Website: <https://www.utah.gov/pmn/index.html> on Feb 10th, 2023. This notice gave the public and partners the opportunity to provide input on the 2023 Annual Action Plan, before the plan was developed. A hearing to discuss the upcoming plan was held on March 20th. The 2023 plan was developed during the second half of March 2023 and a draft of the plan was posted for comment on the public notice website on April 10th. A public hearing to discuss the 2023 plan will be held on May 12th.

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.

Members of the public were invited to attend both public hearings but no comments were offered during the community needs hearing. The AAP public hearing has not been held and this section will be updated at the conclusion of that hearing to document any comments made.

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

N/A

7. Summary

Draft

PR-05 Lead & Responsible Agencies - 91.300(b)

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

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role		Name	Department/Agency
CDBG Administrator		UTAH	DWS/Housing and Community Development Division
HOPWA Administrator		UTAH	DWS/Office of Homeless Services
HOME Administrator		UTAH	DWS/Housing and Community Development Division
ESG Administrator		UTAH	DWS/Office of Homeless Services
		UTAH	DWS/Housing and Community Development Division

Table 1 – Responsible Agencies

Narrative

The Utah Department of Workforce Services is the State Department responsible for CPD programs. The Housing and Community Development Division administers the CDBG, HOME, and HTF Programs. The ESG and HOPWA programs are administered by the Office of Homeless Services.

Consolidated Plan Public Contact Information

AP-10 Consultation - 91.110, 91.300(b); 91.315(l)

1. Introduction

The State CDBG program staff met with the representatives of the six regional associations of governments and the Wasatch Front Regional Council on January 10, 2023. This training provided guidance in regard to the requirements, goals and resources available to prepare the 2023 Annual Action Plan. Local governments in each region are represented by an elected official on the CDBG Policy Committee which determines the Method of Distribution (MOD) of funding under the CDBG program. All homeless services in the State of Utah are coordinated through the Office of Homeless Services, overseen by both the Governor-appointed Homeless Coordinator and the legislatively mandated Utah Homelessness Council. Funding directly administered by the Office must be approved by the Utah Homelessness Council, which is made up of various state department heads, private business leaders, major philanthropic donors, and Governor appointed members of the State Senate and House. Additionally, members of the homeless service community and those with lived experience also serve on the council.

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

The HOME and HTF programs are coordinated by the Olene Walker Housing Loan Fund Board (OWHLF) to provide safe, decent, and affordable housing in the State of Utah. The Utah Department of Workforce Services, Housing and Community Development Division (HCD) is the lead staffing agency supporting the OWHLF.

- The OWHLF Board is composed of 13 voting members representing local governments, mortgage lending, real estate sales, home builders, rental housing, housing advocacy, manufactured housing, transit-oriented development and rural interests. The Director of Housing and Community Development Division serves as secretary to the OWHLF board. The OWHLF approves the funding of multi-family projects with HOME and HTF funds.
- The Commission on Housing Affordability is co-chaired by a state senator and a state representative and is comprised of voting members representing state representatives, the Department of Workforce Services, the Governor's Office of Economic Development, Utah Transit Authority, Utah Housing Corporation, Salt Lake Chamber, land development, real estate, banking, public housing authorities, redevelopment agencies, and rural interests. The commission provides recommendations for affordable housing.
- Homeless efforts in Utah are coordinated by the Office of Homeless Services and overseen by the Utah Homelessness Council (UHC) and Governor appointed Homeless Coordinator.
- The UHC approves all funding allocations awarded and contracts executed by the Office, is mandated by state statute to include the following members: a public sector representative with expertise in

homelessness issues, by the Legislature; a representative of the private sector, appointed by the Utah Impact Partnership or successor organization; a private sector representative with expertise in homelessness issues, appointed by the governor; a statewide philanthropic leader, appointed by the governor; a statewide philanthropic leader, appointed by the Utah Impact Partnership or the successor organization; the mayor of Salt Lake County; mayor of Salt Lake City; the mayor of Midvale; the mayor of South Salt Lake; the mayor of Ogden; the mayor of St. George; the executive director of the Department of Health and Human Services, or designee; commissioner of public safety, or designee; the executive director of the Department of Corrections, or designee; the executive director of the Department of Workforce Services, or designee; the executive director of the Governor's Office of Planning and Budget, or designee; a member of the Senate, appointed by the president of the Senate; a member of the House of Representatives, appointed by the speaker of the House of Representatives; the state superintendent of public instruction or designee; a faith-based leader in the state, appointed by the governor; five local representatives, including at least two private providers of services for people experiencing homelessness, appointed by the Utah Homeless Network steering committee; one individual who has experienced homelessness, appointed by the governor; and The Homeless Coordinator.

The UHC oversees the allocation processes for ESG, Temporary Assistance for Needy Families (TANF), state appropriated Pamela Atkinson Homeless Trust funds, Housing Opportunities for People with AIDS (HOPWA) and the Homeless to Housing Restricted account. The Council is responsible for review of local and regional homelessness plans and cooperates with the Local Homeless Councils (LHC) as designated by the Utah Homeless Network.

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

A Continuum of Care (CoC) is a geographically based area identified to carry out the planning responsibilities of the U.S. Department of Housing and Urban Development's (HUD) CoC funding. The CoC Program is designed to promote community wide commitment to the goal of ending homelessness. The State Office of Homeless Services coordinates directly with all three Continua of Care (CoC) and serves as the collaborative applicant for the Balance of State CoC.

The Utah CoCs are further divided geographically and consist of 13 Local Homeless Councils (LHCs). To enhance homeless services coordination, LHC boards include elected officials, housing providers, health care providers, mental health providers, youth and veteran service providers, community advocates, homeless or formerly homeless individuals with lived experience, and other homeless service agencies.

Additionally, the State coordinates directly with all three Continua of Care (CoC) by leading strategic planning and support efforts aligned with Utah's Strategic Plan on Homelessness (Strategic Plan) with the goals of making homelessness in Utah rare, brief and non-recurring. The Strategic Plan is focused on local accountability in the administration and alignment of funding, data quality, and program services as defined by the CoC, HUD guidance and regulations, as well as the nationally implemented System of Performance Measures. The Office

supports the CoC funding priorities and administers a single statewide instance of the statewide Homeless Management Information System (HMIS). Additionally, the State's partnership with the CoCs provides AdHoc, on-going and quarterly training opportunities to enhance the response of service providers addressing the needs of all those experiencing or at risk of experiencing homelessness.

The Office also specifically prioritizes the needs of homeless families with children through State Homelessness funding, federal pass-through, and coordinating recommendations to HUD for CoC funding.

Describe consultation with the Continuum(s) of Care that serves the State 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

Consultation and coordination for allocation of funding and development of performance standards for ESG funded projects is coordinated through two layers of state oversight, the Utah Homeless Network Steering Committee (UHN) and the Utah Homelessness Council (UHC).

The UHN contains members from every LHC and all three of the CoC Collaborative Applicants in Utah. This group reviews all ESG funded project applications and makes recommendations to the larger Utah Homelessness Council. The UHN Steering Committee takes into consideration multiple factors related to the applications, including ability to administer federal funds, need in the community based on insight from the LHC, and historic performance of the projects. After reviewing recommendations from the UHN, the UHC makes final awards for specific projects. The UHC has a variety of members, including state legislative leaders, local philanthropic community representatives, private business partners, local faith leaders, a representative with lived experience, and five members of the UHN. Utilizing this layered approach, projects receive a high level of review to ensure they best meet the needs of the citizens of Utah.

The Office of Homeless Services then works with those awarded grant funds to create policies and procedures specific to the projects.

Utah has one HMIS for all three CoC's. This system covers all HMIS participating agencies and the Office of Homeless Services oversees the administration of the HMIS. Through a mixture of CoC, ESG, and state dollars this system provides a comprehensive look at project performance that is reviewed quarterly with all grantees and provided to both the UHN and UHC to aid in their funding decision making. The Office of Homeless Services has created robust policies and procedures for the HMIS and a HMIS Steering Committee provides feedback on these policies on a bimonthly basis.

2. Agencies, groups, organizations and others who participated in the process and consultations

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	BEAR RIVER ASSOCIATION OF GOVERNMENTS
	Agency/Group/Organization Type	Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Bear River Association of Governments has partnered with HCD on CDBG funded rural community development projects in the Bear River Region.
2	Agency/Group/Organization	Five County Associations of Governments
	Agency/Group/Organization Type	Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Five County Association of Governments has partnered with HCD on CDBG funded rural community development projects in the Five County Region.

3	Agency/Group/Organization	SIX COUNTY ASSOCIATION OF GOVERNMENT
	Agency/Group/Organization Type	Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Six County Association of Governments has partnered with HCD on CDBG funded rural community development projects in the Six County Region.
4	Agency/Group/Organization	SOUTHEASTERN UTAH ASSOCIATION OF LOCAL GOVERNMENTS
	Agency/Group/Organization Type	Services - Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Southeastern Utah Association of Local Governments has partnered with HCD on CDBG funded rural community development projects in the Southeastern Utah Region.

5	Agency/Group/Organization	Mountainland Association of Governments
	Agency/Group/Organization Type	Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Mountainland Association of Governments has partnered with HCD on CDBG funded rural community development projects in the Mountainland Region.
6	Agency/Group/Organization	Wasatch Front Regional Council
	Agency/Group/Organization Type	Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Wasatch Front Regional Council has partnered with HCD on CDBG funded rural community development projects in the Wasatch Front Region.

7	Agency/Group/Organization	UINTAH BASIN ASSOCIATION OF GOVERNMENTS
	Agency/Group/Organization Type	Housing Services - Narrowing the Digital Divide Agency - Management of Public Land or Water Resources Agency - Emergency Management Regional organization Planning organization
	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?	Uintah Basin Association of Governments has partnered with HCD on CDBG & HOME funded rural community development projects in the Uintah Basin Region.

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

HCD has consulted with all community partners during the process of planning for the 2023 Program Year.

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	Dept. of Workforce Services Office of Homeless Services	Identifies goals and strategies to address homelessness and coordinate with partners in the state.
State of Utah Natural Hazard Mitigation Plan 2019	Utah Department of Emergency Management	Addresses natural hazard risks and vulnerabilities of Utah residents, communities, and infrastructure.

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Utah Broadband Plan	Utah Broadband Advisory Council	Improve digital access for underserved communities throughout the state.

Table 3 - Other local / regional / federal planning efforts

Narrative

The Utah Department of Emergency Management and regions throughout the state draft a five-year Natural Hazard Mitigation Plan, which is approved by the State and FEMA to address hazard risks and vulnerabilities to the various geologic, weather, and climatic hazards present throughout the state. Following the Covid-19 pandemic, 2020 Magna Earthquake, and decades long drought, resilience and mitigation have been top of mind across the State. Worst case scenario earthquake events on the Wasatch Fault, running the length of the highest population area of the state, would have a catastrophic outcome on the public and local economy according to the 2019 State Hazard Mitigation Plan.

Across the State, Utahns are exposed to extreme heat and cold, both of which can be life threatening. HCD programs like HEAT and Weatherization provide assistance with utilities and rehabilitation of units for energy efficiency for qualifying persons. The State of Utah has had specific focus on the management of the State's Water Resources for several years and HCD has supported millions of dollars of infrastructure improvements and water metering initiatives. These measures are funded through the State's Permanent Community Impact Funding.

The Utah Broadband Center (UBC) delivers broadband infrastructure and digital equity services across the State of Utah. All 29 Utah Counties are expanding broadband infrastructure. The Utah Broadband Advisory Council coordinates and collaborates broadband adoption and deployment efforts, working side by side with private sector and higher education institutions to address the digital divide in Utah's 29 Counties. The Utah Broadband Center has produced data and mapping indicating what parts of the state have access to different types of broadband service, and largely most of the state receives coverage.

The UBC also provides several programs to support funding for accessible and cost effective service, including the Affordable Connectivity Program for residents in need of assistance paying for internet service. The Local Broadband Planning Grant and Local Digital Access Planning Grant support local governments and nonprofits with planning for connectivity. In 2023, the UBC is completing a planning process to provide affordability, digital skills, and access to devices to bridge the digital divide. During consultation, the Utah Broadband Center described that their

organizational needs include partnership and engagement to notify eligible persons of the reduced cost internet and digital devices available through their program. HCD has been invited to participate in the Utah Broadband Center planning process.

Draft

AP-12 Participation - 91.115, 91.300(c)

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

HCD and OHS have engaged the public in many forms as part of the process of creating this plan. The CDBG program requires each AOG receiving state CDBG funds to create their own Regional Annual Action Plan. AOGs are required to involve the public, this is done through community outreach as AOG staff and HCD staff hold How-to-Apply Workshops throughout the state. Each AOG is required to have a public comment period and public hearings for the plans. The ESG and HOPWA programs are constantly coordinating with the COCs, nonprofit organizations and other partners in working together within the framework established by the State Homelessness Coordinating Committee.

The primary opportunity for the public to comment on the action plan goals occurs at the hearings held for the 2023 Annual Action Plan. HCD posted a notice on the State Public Notice Website for the Community development needs on February 14, 2023. The comment period extended from February 15 to March 17 and a public hearing was held on March 20 at the Olene Walker Building. The link for the notice posting can be found here: <https://www.utah.gov/pmn/sitemap/notice/813099.html>

The 2023 plan was developed during the second half of March 2023 and a draft of the plan was posted for comment on the public notice website on April 10th. A public hearing to discuss the 2023 plan will be held on May 12th.

The AAP draft review comment period and hearing have not yet taken place. HCD and OHS will update this section at the conclusion of the hearing with comments and outcomes prior to final submission of the 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	Public Meeting	Non-targeted/broad community	Eight staff members and one member of the public attended this public hearing.	No comments were received as a result of the meeting.	No comments were received as a result of the meeting.	

Table 4 – Citizen Participation Outreach

Expected Resources

Draft

AP-15 Expected Resources – 91.320(c)(1,2)

Introduction

The HOME and HTF programs generate significant program income through their revolving loan fund. The expected amount of program income is difficult to calculate due to the constant process of loans being paid back to HCD. CDBG generates very little program income and ESG and HOPWA do not generate any, so we can often estimate the available resources based on previous year's allocations. This section will be amended once the annual allocation is determined by HUD. Presently, an estimate for the annual allocation has been included, which references the amounts indicated in the February 27, 2023 press release describing Community Planning and Development Formula Program Allocations for FY 2023. HTF allocations have not been announced and this plan estimates the FY 23 allocation at 3,000,000.

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	6,807,147	0	1,591,353	8,398,500	16,797,000	HCD estimates are based on the assumption that funding levels will remain constant over the duration of the Consolidated Plan 5-year period. Program income and prior year resources fluctuate year to year but HCD can expect prior year resources to be available each year.

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	3,858,013	6,250,000	2,483,265	12,591,278	25,182,556	HCD estimates are based on the assumption that CPD funding levels will remain constant over the duration of the Consolidated Plan 5-year period. The program income will fluctuate year to year but HCD can expect program income to be available each year of the Con Plan period

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: \$		
HOPWA	public - federal	Permanent housing in facilities Permanent housing placement Short term or transitional housing facilities STRMU Supportive services TBRA	352,629	0	0	352,629	705,258	HCD estimates are based on the assumption that funding levels will remain constant over the duration of the Consolidated Plan 5-year period.

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: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	1,375,209	0	0	1,375,209	2,750,418	HCD estimates are based on the assumption that funding levels will remain constant over the duration of the Consolidated Plan 5-year period.

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: \$		
HTF	public - federal	Acquisition Admin and Planning Homebuyer assistance Multifamily rental new construction Multifamily rental rehab New construction for ownership	3,000,000	180,204	90,678	3,270,882	7,665,722	HCD estimates are based on the assumption that funding levels will remain constant over the duration of the Consolidated Plan 5-year period. Some funds remain from the prior Con Plan period. HTF does generate program income in very small quantities.

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

The HOME and HTF programs use HUD allocations to fund multifamily housing developments. HCD also uses state funds to fund Multifamily Housing Projects. HOME and HTF funded multifamily rental developmental projects typically leverage at an average ratio of 19:1 using a variety of public and private resources, including State Low-Income Housing funds, municipal funds, the federal Low-Income Housing Tax Credit program, RDAs, USDA-RD, Private Activity Bonds, and other funding sources. The HOME Match requirement is met with funding to HOME-eligible multifamily rental projects through State Low-Income Housing funds. The projects supported with match funds will be added to this plan after the program year has been completed and HOME Match funds have been committed.

The HOME Program 25% Match Requirement of \$964,504 will be drawn from State of Utah Funds.

The ESG Program 100% Match Requirement of \$1,375,209 will be drawn from State of Utah Funds.

The HOPWA and CDBG programs do not have match requirements. To encourage the use of matching funds, CDBG applications receive additional points if other funds are contributed to the project. During initial application submission a “Commitment of Funds” letter is required for all other funds contributed to fund a project. Overall, almost all of the projects being funded with CDBG have a substantial amount of other funds committed. CDBG continues to serve a critical role as gap financing for critical projects throughout the non-entitlement areas of the state.

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

The state does not have publically owned land or property that can be used to address the needs identified in the plan.

Discussion

Draft

Annual Goals and Objectives

AP-20 Annual Goals and Objectives – 91.320(c)(3)&(e)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	HOME and HTF New Affordable Housing	2020	2024	Affordable Housing	State of Utah	New HOME and HTF Affordable Housing	HOME: \$12,591,278 HTF: \$3,270,882	Rental units constructed: 20 Household Housing Unit Rental units rehabilitated: 10 Household Housing Unit Homeowner Housing Added: 0 Household Housing Unit

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
2	CDBG Single Family Housing Rehab	2020	2024	Affordable Housing	Mountainland Association of Governments (MAG) Bear River Association of Governments (BRAG) Uintah Basin Association of Governments (UBAG) Southeastern Utah Association of Local Governments (SEUALG) Six County Association of Governments (SCAOG)	CDBG Affordable Housing	CDBG: \$2,015,640	Homeowner Housing Rehabilitated: 81 Household Housing Unit

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
4	CDBG Public Facilities	2020	2024	Non-Housing Community Development	Bear River Association of Governments (BRAG) Five County Association of Governments (FCOAG) Six County Association of Governments (SCAOG) Wasatch Front Regional Council (WFRC)	CDBG Community Capital Improvements	CDBG: \$2,939,475	Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit: 223 Households Assisted
5	CDBG Other Affordable Housing	2020	2024	Affordable Housing	Bear River Association of Governments (BRAG) Uintah Basin Association of Governments (UBAG) Six County Association of Governments (SCAOG)	CDBG Affordable Housing	CDBG: \$587,895	Rental units constructed: 0 Household Housing Unit Rental units rehabilitated: 4 Household Housing Unit Homeowner Housing Added: 0 Household Housing Unit Direct Financial Assistance to Homebuyers: 57 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Make Homelessness Rare	2020	2024	Homeless	State of Utah	Make Homelessness Rate	ESG: \$412,563	Homelessness Prevention: 310 Persons Assisted
7	Make Homelessness Brief	2020	2024	Homeless	State of Utah	Make Homelessness Brief	ESG: \$577,588	Homeless Person Overnight Shelter: 2500 Persons Assisted Overnight/Emergency Shelter/Transitional Housing Beds added: 25 Beds
8	Make Homelessness Non-Recurring	2020	2024	Homeless	State of Utah	Make Homelessness Non-Recurring	ESG: \$385,059	Tenant-based rental assistance / Rapid Rehousing: 150 Households Assisted
9	CDBG Public Services	2020	2024	Non-Housing Community Development	Bear River Association of Governments (BRAG) Uintah Basin Association of Governments (UBAG) Six County Association of Governments (SCAOG)	CDBG Public Services	CDBG: \$335,940	Public service activities other than Low/Moderate Income Housing Benefit: 3500 Persons Assisted Public service activities for Low/Moderate Income Housing Benefit: 70 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
10	CDBG Administration and Planning	2020	2024	Admin/Planning	Mountainland Association of Governments (MAG) Bear River Association of Governments (BRAG) Five County Association of Governments (FCOAG) Uintah Basin Association of Governments (UBAG) Southeastern Utah Association of Local Governments (SEUALG) Six County Association of Governments (SCAOG) Wasatch Front Regional Council (WFRC)	CDBG Administration and Planning	CDBG: \$755,865	Other: 0 Other

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
12	HOPWA- Assistance for Persons with HIV/AIDS	2020	2024	Non-Homeless Special Needs	State of Utah	HOPWA Support HIV/AIDS housing and case management	HOPWA: \$352,629	Tenant-based rental assistance / Rapid Rehousing: 35 Households Assisted HIV/AIDS Housing Operations: 0 Household Housing Unit
13	CDBG Public Infrastructure	2020	2024	Non-Housing Community Development	Mountainland Association of Governments (MAG) Bear River Association of Governments (BRAG) Southeastern Utah Association of Local Governments (SEUALG) Wasatch Front Regional Council (WFRC)	CDBG Public Infrastructure	CDBG: \$1,763,685	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 12831 Persons Assisted

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	HOME and HTF New Affordable Housing
	Goal Description	Projects completed within this category are typically completed in subsequent program years. Therefore, HCD anticipated very limited accomplishments to be reported on this funding within this program year.
2	Goal Name	CDBG Single Family Housing Rehab
	Goal Description	Five of the six regional associations of governments operate single-family housing rehab programs. Single Family Housing Rehab will benefit low to moderate income households in the Bear River, Uintah Basin, Southeast, Mountainland and Six County regions throughout Utah
4	Goal Name	CDBG Public Facilities
	Goal Description	Public facilities such as community centers, fire stations, senior centers and food banks are the most common public facilities funded through the State of Utah CDBG program.
5	Goal Name	CDBG Other Affordable Housing
	Goal Description	CDBG Other Affordable Housing Activities include land acquisition or construction of infrastructure for the development of housing and also multi-family housing rehabilitation. Home Buyer assistance programs are also included in these types of Projects.
6	Goal Name	Make Homelessness Rare
	Goal Description	Fewer first-time individuals who experience homelessness
7	Goal Name	Make Homelessness Brief
	Goal Description	Fewer days spent in emergency beds or shelters
8	Goal Name	Make Homelessness Non-Recurring
	Goal Description	Fewer persons returning to homelessness, and more persons successfully retaining housing.

9	Goal Name	CDBG Public Services
	Goal Description	Activities include the purchase of Meal-on-Wheels, senior transportation vehicles and agency vehicle to provide direct client services.
10	Goal Name	CDBG Administration and Planning
	Goal Description	<p>CDBG administration, consolidated planning and other community planning assistance activities are carried out by the six regional associations of governments and Wasatch Front Regional Council. Activities include AOG administration and planning activities and project administration for the following areas:</p> <p>Five County Region (Beaver, Kane, Garfield, Iron, Washington)</p> <p>Mountainland Region (Wasatch, Summit)</p> <p>Six County Region (Juab, Millard, Piute, Sanpete, Sevier, Wayne)</p> <p>Southeastern Region (Carbon, Emery, Grand, San Juan)</p> <p>Uintah</p> <p>CDBG administration also covers admin fees for UBAOG and BRAG to run the Home Buyer Assistance Program.</p>
12	Goal Name	HOPWA- Assistance for Persons with HIV/AIDS
	Goal Description	Provide housing/rent assistance for persons with HIV/AIDS
13	Goal Name	CDBG Public Infrastructure
	Goal Description	Activities include water/sewer, curb and gutter, streets and sidewalks.

Draft

AP-25 Allocation Priorities – 91.320(d)

Introduction:

Allocation Priorities are based on the estimated amount of funding that will be allocated towards achieving the aims of each priority.

Funding Allocation Priorities

	HOME and HTF New Affordable Housing (%)	CDBG Single Family Housing Rehab (%)	CDBG Public Facilities (%)	CDBG Other Affordable Housing (%)	Make Homelessness Rare (%)	Make Homelessness Brief (%)	Make Homelessness Non- Recurring (%)	CDBG Public Services (%)	CDBG Administration and Planning (%)	HOPWA- Assistance for Persons with HIV/AIDS (%)	CDBG Public Infrastructure (%)	Total (%)
CDBG	0	24	35	7	0	0	0	4	9	0	21	100
HOME	100	0	0	0	0	0	0	0	0	0	0	100
HOPWA	0	0	0	0	0	0	0	0	0	100	0	100
ESG	0	0	0	0	30	42	28	0	0	0	0	100
HTF	100	0	0	0	0	0	0	0	0	0	0	100

Table 7 – Funding Allocation Priorities

Reason for Allocation Priorities

These priorities were assigned according to estimates by the HCD and OHS staff as to the proportion of funding which will be dedicated towards the various priorities identified. CDBG allocation priorities are determined at the regional level by the six Associations of Governments (AOGs) and Wasatch Front Regional Council. Each region has a rating and ranking committee (RRC) that is composed of elected officials and community members. These RRCs reviewed local community needs assessments and determined the 2020 Consolidated plan priorities based on local needs.

HOME, HTF, HOPWA, and ESG identify priorities through their respective boards, committees and councils described in this plan. Prospective grantees may apply for funds through a competitive grant application process, and awards are approved by the governing body.

How will the proposed distribution of funds will address the priority needs and specific objectives described in the Consolidated Plan?

The distribution of funds between the priorities has been determined by the needs and objectives described in the Consolidated Plan. CPD funds have been allocated to 2023 program year activities based on the program goals and priorities established in the 2020-2024 Consolidated Plan. These activities will be added to the AP-35 Projects section through an amendment to the 2023 Annual Action Plan when they are finalized.

AP-30 Methods of Distribution – 91.320(d)&(k)

Introduction:

Distribution Methods

Table 8 - Distribution Methods by State Program

1	State Program Name:	National Housing Trust Fund
	Funding Sources:	HTF
	Describe the state program addressed by the Method of Distribution.	<p><p dir="ltr">The National Housing Trust Fund (NHTF) program provides funding to support the construction and/or rehabilitation of rental housing affordable to extremely low-income households.</p><p dir="ltr">The Olene Walker Housing Loan Fund (OWHLF) is the HTF grantee for the state of Utah. This fund is part of the Utah Housing and Community Development (HCD) Division. OWHLF partners with public and private organizations to create and preserve quality affordable housing for Utah's extremely low-, low-income, and moderate-income community. To achieve this goal, OWHLF supports the construction, rehabilitation and purchase of affordable multi-family throughout Utah. These programs are based on fair, open and competitive processes for applicant proposals that create and preserve low-income housing units. </p></p>

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Applications are accepted on a quarterly basis and are competitively scored. The maximum score is 700 points. Scoring is based on the number of 15%-25% AMI units (400 points), the number of ELI units (200 points), the number of special needs units (40 points), rental assistance (40 points), rent limits (15 points), location (5 points), and capacity of applicant (no points).</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available</p> <p>to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	

<p>Describe how resources will be allocated among funding categories.</p>	<p>All resources will be used for the construction or rehabilitation of affordable rental housing development.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>A number of thresholds are required during the application process that include, but are not limited to: eligible activity, project and property type; architectural plans; an affirmative marketing plan; evidence of site control; project schedule; construction cost estimates, project development budget; operating pro forma; financing documentation; development capacity information; the amount of funds invested per unit does not exceed the program limits and is at least \$1,000/unit; and other information (all of which is noted within the state application).</p> <p>OWHLF does not award more than \$1 million to any one applicant. Applicants which are building multi-stage projects are allowed to submit for more funds upon initiation of a new phase of their construction. The OWHLF Board has discretion to award more than \$1 million to a single project if they so choose. This is an extremely rare occurrence.</p>

	What are the outcome measures expected as a result of the method of distribution?	We expect to be able to fund the construction and/or rehabilitation of affordable rental housing for extremely low-income households.
2	State Program Name:	Olene Walker Housing Loan Fund
	Funding Sources:	HOME
	Describe the state program addressed by the Method of Distribution.	<p>The Home Investment Partnership Program (HOME) provides funding for the construction and/or rehabilitation of rental housing and the construction of owner-occupied housing</p> <p>The Olene Walker Housing Loan Fund (OWHLF) is the HOME grantee for the state of Utah. This fund is part of the Utah Housing and Community Development (HCD) Division. OWHLF partners with public and private organizations to create and preserve quality affordable housing for Utah's extremely low-, low-, and moderate-income community. To achieve this goal, OWHLF supports the construction, rehabilitation and purchase of affordable multi-family and single-family housing units throughout Utah. These programs are based on fair, open and competitive processes for applicant proposals that create and preserve low-income housing units.</p>

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Applications are accepted on a quarterly basis and are competitively scored. The maximum score is 100 points. Scoring is based on loan leveraging (25 points), new capacity (20 points), AMI targeting (15 points), community support (10 points), location (10 points), substantial rehabilitation (10 points), unit sizes (5 points), and “green” projects (5 points).</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available</p> <p>to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	

<p>Describe how resources will be allocated among funding categories.</p>	<p>HCD uses federal HOME funds specifically to support our multi-family rental housing program and also our single family Self-Help Program.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>A number of thresholds are required during the application process that include, but are not limited to: eligible activity, project and property type; architectural plans; an affirmative marketing plan; evidence of site control; project schedule; construction cost estimates, project development budget; operating pro forma; financing documentation; development capacity information; the amount of funds invested per unit does not exceed the program limits and is at least \$1,000/unit; and other information (all of which is noted within the state application).</p> <p>OWHLF does not award more than \$1 million to any one applicant. Applicants which are building multi-stage projects are allowed to submit for more funds upon initiation of a new phase of their construction. The OWHLF Board has discretion to award more than \$1 million to a single project if they so choose. This is an extremely rare occurrence.</p>

	What are the outcome measures expected as a result of the method of distribution?	OWHLF has chosen to promote the creation of new affordable multifamily units for extremely low-, low-, and moderate-income households. Our method of distribution reflects this priority. Funds are also distributed to support HCD's goal to end chronic homelessness. We expect applicants to promote green building standards, large unit sizes, and large leveraging as a result of our rating system.
3	State Program Name:	State of Utah HOPWA Program
	Funding Sources:	HOPWA
	Describe the state program addressed by the Method of Distribution.	The Housing Opportunities for Persons with AIDS (HOPWA) Program is the only Federal program dedicated to the housing needs of persons living with HIV/AIDS and their families. The HOPWA funds are appropriated annually through the U.S. Department of Housing and Urban Development (HUD) by formula to eligible states that meet the minimum number of cumulative AIDS cases. As an eligible state (grantee), the State of Utah receives a HOPWA formula grant, administered by the Utah Department of Workforce Services, Office of Homeless Services. The HOPWA Program aims to assist HOPWA eligible households to: (1) Increase access to healthcare and other supportive services necessary to focus on managing their disease, (2) Avoid becoming homeless while facing severe challenges in meeting personal and medical needs in addition to their housing costs, (3) Gain more stability, continue case management and have better health options.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>HOPWA funding is awarded through a competitive Request for Grant Application (RFGA) process. Applications are reviewed by a steering committee established to provide oversight of the needs of HOPWA recipients throughout the state. Projects are scored according to criteria such as (1) Identify people living with HIV/AIDS, (2) Increase inventory of affordable units for people living with HIV/AIDS, (3) Provide direct client support to obtain or maintain housing and prevent homelessness, (4) Identify resources for people living with HIV/AIDS. Priority is given to projects that were funded in the previous program year and demonstrated effective use of funds.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Project sponsors are non-profits (including faith-based organizations) or government agencies targeting services to individuals living within the State's metropolitan statistical areas. Project sponsors must demonstrate the ability to manage the HOPWA program and all applicable State and Federal policies and procedures including compliance with Federal and State non-discrimination laws. Project sponsors must have established internal control and fiscal accounting procedures. Project sponsors should demonstrate the ability to coordinate, where appropriate, client services with other services providers and leverage, where possible, other resources toward meeting overall client needs and program goals. Program Sponsors must demonstrate the ability to meet all reporting and record keeping requirements including maintaining the confidentiality of client records. Project Sponsors must demonstrate that they can and will make third party payments without identifying clients as HOPWA recipients or as having HIV or AIDS.</p> <p>DWS-OHS posts a public notice for RFGA in the on the Department of Workforce Services Grant page (https://jobs.utah.gov/department/rfg/index.html) and the DWS_OHS webpage. Additionally, all three CoC's in Utah share the RFGA in their monthly newsletters.</p> <p>(https://jobs.utah.gov/housing/homelessness/index.html) to apply for HOPWA funding. Pre-application trainings are held to inform prospective applicants of the process of applying.</p>

	<p>Describe how resources will be allocated among funding categories.</p>	<p>DWS-OHS will only use the authorized administrative cost limit of 3% to manage the program. Project sponsors will be limited to the authorized administrative cost of 7%. This will be monitored when OHS processes requests for funds. Other than administration funds, HOPWA has emphasized rental assistance for persons with HIV/AIDS. HUD provides HOPWA grantees the flexibility to determine how best to apportion recipients.</p>
	<p>Describe threshold factors and grant size limits.</p>	<p>There are no limits or threshold factors in the awarding of HOPWA funds.</p>

	What are the outcome measures expected as a result of the method of distribution?	As a result of HOPWA's method of distribution HOPWA expects to; (1) increase inventory of affordable units for people living with HIV/AIDS, (2) provide direct client support to obtain or maintain housing and prevent homelessness, and (3) identify resources for people living with HIV/AIDS.
4	State Program Name:	The State of Utah Emergency Solutions Grant Program
	Funding Sources:	ESG
	Describe the state program addressed by the Method of Distribution.	The Emergency Solutions Grant (ESG) program provides financial assistance and essential services to homeless individuals and families. ESG provides street outreach, rapid rehousing, homeless prevention, and emergency shelter.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>The state of Utah Office of Homeless (OHS) Services ESG program awards funding through a competitive RFGA process. The Spring RFGA includes ESG, TANF and state funding allocations. As outlined in Utah state code, the Utah Homeless Network (UHN) Steering Committee is responsible for reading, scoring, and prioritizing applications. The UHN Steering Committee is given scoring criteria for the applications and high scoring applications are matched with Local Homeless Council ranked project type priorities. Final awards are determined by the Utah Homelessness Council as per Utah state code. The Council is responsible for developing and maintaining the homeless services budget and reviewing applications and approving funding for the provision of homeless services.</p> <p>The OHS follows HUD direction to allocate no more than 60% of ESG funds for shelter and outreach. The primary focus is Rapid Rehousing dollars for those staying in shelters who are literally homeless and street outreach to identify unsheltered households and offer services and housing.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>The State of Utah, Office of Homeless Services (OHS), has consolidated both state and federal sources of homelessness program grants into a single application process, OHS Homelessness Funding. This competitive RFP for funding is open to: Public or private not-for-profit organizations, faith-based organizations, state departments and agencies, units of local governments and Indian tribal governments.</p> <p>A statewide allocation plan was developed by an allocation committee and approved by the interagency council on homelessness (the State Homeless Coordinating Committee (SHCC)). The OHS Homelessness Programs Office oversees the funding process for proposals from programs statewide that serve homeless persons according to HUD's definition of homelessness. All agencies that serve households experiencing homelessness with services that fall within state and federal goals are encouraged to apply. Training is provided for the application process as well as training of ESG regulations and requirements. The SHCC, Allocation Committee scores and prioritizes funding proposals, then, creates recommendations regarding the distribution of ESG. The recommendations are presented to the SHCC for final approval.</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	

	Describe how resources will be allocated among funding categories.	As per HUD's guidelines: no more than 60% will be allocated to Street Outreach and Emergency Shelter activities. The remaining 40%+ are allocated to Rapid Re-housing and HMIS.
	Describe threshold factors and grant size limits.	The ESG Program has no threshold factors or grant size limits.

	What are the outcome measures expected as a result of the method of distribution?	By prioritizing Emergency Shelter, Street Outreach and Rapid Rehousing projects throughout the state that target only literally homeless and those who are most vulnerable, OHS expects the following outcomes: 1) Reduction in the number of people living on the streets or in emergency shelter, 2) Reduction in the length of time individuals and households remain homeless, and 3) Increase in exits to a permanent housing destinations.
5	State Program Name:	Utah Small Cities Community Development Block Grant Program
	Funding Sources:	CDBG
	Describe the state program addressed by the Method of Distribution.	The Utah Small Cities Community Development Block Grant Program is dedicated to the promotion of local community development in rural Utah. The CDBG program funds activities such as infrastructure development, affordable housing, and public services. This program is an essential part of promoting sustainability in Utah's rural communities.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Annually, Utah provides an allocation to each of the regional associations of governments (AOGs) and Wasatch Front Regional Council (WFRC) who then score applications based on approved rating and ranking systems. The 2023 State allocation will be divided 7 ways. Cities over 50,000 and counties over 200,000 in population receive their own allocations of federal CDBG funds directly from HUD and are not factored into this calculation. Each AOG and WFRC has developed their own rating and ranking system to determine how to award CDBG funds to applicants. The 7 mandated criteria are as follows:</p> <ol style="list-style-type: none"> 1) "Capacity to carry out the grant". In other words the grantee must have a history of successful grant administration in order to receive full points in this category. 2) "Housing stock". Housing is a state priority. Housing projects that improve or expand affordable housing stock are given additional points. 3) "Affordable housing plan". Utah House Bill 259 requires all cities and counties to address the problems associated with the availability of affordable housing in their community's plan. 4) "Extent of Poverty". Points are given for the percentage of low-income, and very low-income persons benefiting either from the project or carried out in a low-income community. 5) "Financial commitment to community development". Points are given to communities who show commitment based on criteria selected by the regional AOGs. 6) "Project Maturity". Each application must contain a specific and detailed scope of work that contains a narrative description and a detailed cost estimate. The AOG should determine the immediate viability of the project. Leveraging is also considered as part of this criteria. 7) "Planning". The AOGs review the 5-year Consolidated Plans, as well as more recent annual updates to the consolidated plan, when available, and then establish regional priorities and award points accordingly.
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<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>The Utah Small Cities CDBG program goes to great lengths to ensure that all eligible applicants are notified and prepared to apply for CDBG funds. On an annual basis the State holds 11 How-to-Apply workshops throughout the state. Counties, cities, towns, and private and public service providers are invited to attend. In this workshop State staff and AOG representatives present and review the annually updated CDBG Application Policies and Procedures manual. This manual clearly outlines the procedures for applying for CDBG funds. It explains the CDBG rating and ranking systems, important deadlines, and all other information needed to successfully apply for funds. These workshops are well attended. The application policies and procedures manual is also on CDBGs website at https://jobs.utah.gov/housing/community/cdbg/publications.html</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	

<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	
<p>Describe how resources will be allocated among funding categories.</p>	<p>CDBG funding categories include admin, planning, technical assistance, housing, public facilities, public services, public Infrastructure and “other”. Each AOG and WFRC has developed their own rating and ranking system according to the needs of their region. The rating and ranking systems promote certain project types over others. However, regional funding priorities reflect the needs of the region. The state has final approval authority over these systems, and they must include the state’s mandatory elements (Public Participation, Capacity to Carry Out the Grant, Housing Stock, Affordable Housing Plan, Extent of Poverty, Financial Commitment to Community Development, Project Maturity, and Planning). The rating and ranking systems are evaluated each year and modifications are made. Special efforts continue to eliminate subjectivity and create clear scoring criteria.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>The minimum CDBG grant award is \$30,000. Some AOGs have chosen to limit the maximum grant size. However, this varies by region. Most grants range from \$100,000 to \$350,000.</p>

	<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>The 2023 Method of Distribution uses a formula that takes into account the following criteria that are applied to each region.</p> <ul style="list-style-type: none"> \$400,000 base % of State LMI Population Average Poverty Rate Pre 1980 Housing Pre-Approved LMI Communities <p>This formula will focus resources in the rural communities that have the greatest need.</p>
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Discussion:

Draft

AP-35 Projects – (Optional)

Introduction:

HCD awards funds throughout the duration of the program year and will enter those projects in an amended plan once HCD is aware of all of them. This list is subject to amendment or correction until the amended plan is submitted at the close of the 2023 program year.

#	Project Name
1	Single Family Housing Rehabilitation
2	Public Facilities
3	Public Services
4	Admin & Planning
5	Public Infrastructure
6	State Admin
7	Other Affordable Housing

Table 9 – Project Information

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

AP-38 Project Summary

Project Summary Information

1	Project Name	Single Family Housing Rehabilitation
	Target Area	Mountainland Association of Governments (MAG) Bear River Association of Governments (BRAG) Uintah Basin Association of Governments (UBAG) Southeastern Utah Association of Local Governments (SEUALG) Six County Association of Governments (SCAOG)
	Goals Supported	CDBG Single Family Housing Rehab
	Needs Addressed	CDBG Affordable Housing
	Funding	CDBG: \$1,705,717
	Description	Single-Family Housing Rehabilitation programs carried out in the Bear River, Uintah Basin, Six County, Mountainland and Southeastern Regions.
	Target Date	6/30/2024
	Estimate the number and type of families that will benefit from the proposed activities	81 LMI Housholds
	Location Description	Single Family Housing Rehab will benefit low to moderate income households in the Bear River, Uintah Basin, Southeast, Mountainland and Six County regions throughout Utah

	Planned Activities	Southeaster Association of Local Governments - Single Family Housing Rehab (Carbon, Emery, Grand and San Juan County) -Six County Association of Governments - Single Family Housing Rehab (Juab, Millard, Piute, Sanpete, Sevier and Wayne County)- Uintah Basin Association of Governments - Single Family Housing Rehab (Daggett, Duchesne and Uintah County) Mountainland Association of Governments (Wasatch and Summit County) Bear River Association of Governments - Single Family Housing Rehab (Box Elder, Rich, Cache County)
2	Project Name	Public Facilities
	Target Area	Bear River Association of Governments (BRAG) Five County Association of Governments (FCOAG) Six County Association of Governments (SCAOG) Wasatch Front Regional Council (WFRC)
	Goals Supported	CDBG Public Facilities
	Needs Addressed	CDBG Public Services
	Funding	CDBG: \$2,455,831
	Description	Acquisition of land for or construction/rehabilitation of public facilities such as fire stations, senior centers, parks, food banks, shelters, etc.
	Target Date	6/30/2024
	Estimate the number and type of families that will benefit from the proposed activities	18,635 People
	Location Description	Beaver City, Iron County, Town of Tropic, Scipio Town, Blanding City, Gunnison City, Richfield City, Salina, Washington Terrace, Tooele County and Garland City.

	Planned Activities	Funds will be used for playground equipment, community facility rehab, fire truck purchase, fire equipment purchase, ADA accessibility, baseball park and park improvements.
3	Project Name	Public Services
	Target Area	Bear River Association of Governments (BRAG) Uintah Basin Association of Governments (UBAG) Six County Association of Governments (SCAOG)
	Goals Supported	Make Homelessness Non-Recurring
	Needs Addressed	CDBG Public Services
	Funding	CDBG: \$311,059
	Description	Activities include the purchase of Meal-on-Wheels and senior transportation vehicles.
	Target Date	6/30/2024
	Estimate the number and type of families that will benefit from the proposed activities	12,272 people - LMI Only
	Location Description	Uintah County, Box Elder, Cache County, Juab, Millard, Sevier, San Pete, Wayne, and Piute
	Planned Activities	Client services, providing meals, overssing housing activites and client transportation
4	Project Name	Admin & Planning
	Target Area	Mountainland Association of Governments (MAG) Bear River Association of Governments (BRAG) Five County Association of Governments (FCOAG) Uintah Basin Association of Governments (UBAG) Southeastern Utah Association of Local Governments (SEUALG) Six County Association of Governments (SCAOG) Wasatch Front Regional Council (WFRC)

	Goals Supported	CDBG Administration and Planning
	Needs Addressed	CDBG Administration and Planning
	Funding	CDBG: \$629,850
	Description	Activities include AOG administration and planning activities and project administration.
	Target Date	6/30/2024
	Estimate the number and type of families that will benefit from the proposed activities	N/A
	Location Description	Five County Region (Beaver, Kane, Garfield, Iron, Washington), Mountainland Region (Wasatch, Summit), Six County Region (Juab, Millard, Piute, Sanpete, Sevier, Wayne) Southeastern Region (Carbon, Emery, Grand, San Juan) Uintah Basin Region (Daggett, Duchesne, Uintah) Bear River Region (Cache, Rich, Box Elder) Wasatch Front Regional Council (Tooele, Morgan, Weber)
	Planned Activities	Funds will be used to pay for administration and consolidated planning in 7 regions throughout the state to help administer the states small cities CDBG program.
5	Project Name	Public Infrastructure
	Target Area	Mountainland Association of Governments (MAG) Bear River Association of Governments (BRAG) Southeastern Utah Association of Local Governments (SEUALG) Wasatch Front Regional Council (WFRC)
	Goals Supported	CDBG Public Infrastructure
	Needs Addressed	CDBG Public Infrastructure
	Funding	CDBG: \$1,451,877
	Description	Activities include water/sewer, curb and gutter, streets and sidewalks.

	Target Date	6/30/2024
	Estimate the number and type of families that will benefit from the proposed activities	12,168 People
	Location Description	Kamas, Treamonton City, Washington Terrace, Tooele City, and Grand County.
	Planned Activities	Activities include water/sewer and drinking water
6	Project Name	State Admin
	Target Area	State of Utah
	Goals Supported	
	Needs Addressed	
	Funding	CDBG: \$304,214
	Description	HUD CDBG grant funds used to pay state CDBG staff
	Target Date	6/30/2024
	Estimate the number and type of families that will benefit from the proposed activities	N/A
	Location Description	State CDBG Administration of CDBG program throughout the state.
	Planned Activities	State CDBG Administration Costs (Not Grantee Administration)
7	Project Name	Other Affordable Housing
	Target Area	Bear River Association of Governments (BRAG) Five County Association of Governments (FCOAG) Uintah Basin Association of Governments (UBAG)

Goals Supported	CDBG Other Affordable Housing
Needs Addressed	CDBG Affordable Housing
Funding	CDBG: \$471,000
Description	Activities include land acquisition or construction of infrastructure for the development of housing and also multi-family housing rehabilitation. Home Buyer assistance programs are also included in these types of Projects.
Target Date	6/30/2024
Estimate the number and type of families that will benefit from the proposed activities	39 Households
Location Description	Cedar City, Uintah Basin and Bear River
Planned Activities	Cedar City - Acquire 1-2 Housing Units to provide low to mod income rental units Uintah Basin- Home Buyers Assistance - downpayment assistance Uintah Basin - Self Help - Utility Assistance Bear River - Home Buyer Assistance - downpayment assistance

AP-40 Section 108 Loan Guarantee – 91.320(k)(1)(ii)

Will the state help non-entitlement units of general local government to apply for Section 108 loan funds?

No

Available Grant Amounts

N/A

Acceptance process of applications

N/A

Draft

AP-45 Community Revitalization Strategies – 91.320(k)(1)(ii)

Will the state allow units of general local government to carry out community revitalization strategies?

No

State's Process and Criteria for approving local government revitalization strategies

N/A

Draft

AP-50 Geographic Distribution – 91.320(f)

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

The only instance in which HUD funds are distributed geographically is the CDBG funds which are distributed throughout the state to the six associations of governments and Wasatch Front Regional Council. Within rural Utah there are many communities which are low-income. None of these are designated racial or ethnic areas of poverty (RCAP or ECAPs). None of the regional organizations have geography based set asides for communities or neighborhoods within their respective regions. The CDBG funds are allocated geographically as follows: Bear River AOG 13%, Five County 17%, Mountainland 10%, Six County 16%, Southeastern 15%, Uintah Basin 12% and Wasatch Front 19%. HOME, HTF, HOPWA and ESG funds are not distributed geographically. When accounting for prior years resources and program income CDBG funds account for approximately 43% of the total funds HUD allocated to Utah. The percentages listed below show the percentage of total state funding from all CPD grants that are allocated geographically by the CDBG program to these 7 regional agencies. The remaining 57% of funds are not allocated geographically.

Geographic Distribution

Target Area	Percentage of Funds
Mountainland Association of Governments (MAG)	5
Bear River Association of Governments (BRAG)	6
Five County Association of Governments (FCOAG)	7
Uintah Basin Association of Governments (UBAG)	5
Southeastern Utah Association of Local Governments (SEUALG)	7
Six County Association of Governments (SCAOG)	7
Wasatch Front Regional Council (WFRC)	8

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

HOME, Housing Trust Fund (HTF), Housing Opportunities for People with AIDS (HOPWA) and Emergency Solutions (ESG) program funds are not distributed geographically.

The AOGs determine their priorities and make funding decisions with input from their rating and ranking committees. None of the AOGs have geography based set asides for communities or neighborhoods within their respective regions.

Discussion

Draft

Affordable Housing

AP-55 Affordable Housing – 24 CFR 91.320(g)

Introduction:

One Year Goals for the Number of Households to be Supported	
Homeless	0
Non-Homeless	162
Special-Needs	0
Total	162

Table 11 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	0
The Production of New Units	38
Rehab of Existing Units	124
Acquisition of Existing Units	0
Total	162

Table 12 - One Year Goals for Affordable Housing by Support Type

Discussion:

The CDBG program will assist 4 households with rental units rehabilitated, 81 households with homeowner housing rehabilitation and 57 households with direct financial homebuyers assistance.

The HOME and HTF programs plan on assisting 20 households with construction of new rental units and 10 households with the rehabilitation of existing affordable housing units.

AP-60 Public Housing - 24 CFR 91.320(j)

Introduction:

The CDBG program supports affordable housing through the following programs: Single Family Housing Rehab, Home-Buyer Assistance, Self-Help Housing and other housing activities.

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

The State of Utah CDBG program has historically provided funding to cities and counties that pass through grants to the following rural housing authorities that operate public housing units: Cedar City, Beaver City, Carbon County, Emery County and Tooele. Most of the funding is used for multi-family housing rehabilitation.

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

The State of Utah does not own or manage any public housing authorities in the non-entitlement areas of the state where the CDBG program operates. However, there are two housing authorities that are awarded CDBG funds frequently. Cedar City Housing Authority offers the following programs to their housing residents: Homebuyer Education classes, Budgeting & Financial Management classes, Homebuyer Assistance and a Rent to Own Program. Beaver Housing Authority offers online homebuyer education classes and Money Wise budgeting classes to all tenants.

All public housing residents are given notice of the HA board meetings and are invited to attend. Most of the PHA's have resident meetings that are held as needed to discuss any issues. Aside from a homeownership assistance program at Weber Housing Authority, we are unaware of any homeownership assistance programs being offered by the other housing authorities.

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

There are no troubled Public Housing Authorities in Utah. CDBG does not assist troubled housing authorities.

Discussion:

AP-65 Homeless and Other Special Needs Activities – 91.320(h)

Introduction

The effort to ensure that episodes of homelessness are rare, brief and non-recurring is a coordinated and systematic statewide approach. Agencies throughout the state are approaching homelessness through a “Housing First” model. The National Housing Trust Fund application process promotes the creation of affordable housing for extremely low income individuals many of whom are at risk of homelessness. It is expected that the affordable units funded with NHTF funds will assist extremely low income households and prevent many from experiencing bouts of homelessness.

The State of Utah Strategic Plan on Homelessness outlines several goals to make homelessness in Utah rare, brief, and non-recurring. Goals are evaluated annually and are listed on pages seven through 11 of the State of Utah Strategic plan on Homelessness:

<https://jobs.utah.gov/homelessness/homelessnessstrategicplan.pdf>

Goal 1. Increase accessible and affordable permanent housing opportunities for people experiencing homelessness across the state.

Goal 2. Increase access to and availability of supportive services and case management for people experiencing and at risk of homelessness.

Goal 3. Expand homeless prevention efforts by increasing coordination, resources, and affordable housing opportunities.

Goal 4. Target housing resources and supportive services to people experiencing unsheltered homelessness.

Goal 5. Promote alignment and coordination across multiple systems of care to support people experiencing and at risk of homelessness.

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

OHS coordinated with each of the established Continuums of Care (CoC’S) that operate in every area of the state. The CoC’s have established coordinated entry processes that assess individuals at-risk and experiencing homelessness. Through this coordinated entry process, these individuals are able to access services in each area that assist with preventing and ending homelessness. Currently OHS is working with each CoC to select a new prioritization tool that will better gather data on the individual from existing social service systems to more quickly and efficiently prioritize assistance.

Addressing the emergency shelter and transitional housing needs of homeless persons

The State of Utah’s ESG funding will continue to be allocated to emergency shelters

throughout the state for case management, operations and maintenance. With Utah's weather conditions being potentially life-threatening, it is imperative that these facilities and/or emergency motel vouchers exist to ensure that no lives are lost due to inadequate sheltering. Utilizing state funds, OHS also prioritizes funding for shelter diversion programs and training on diversion best practices. Diversion creates the opportunity to ensure that only the persons who have no other resources are being served within emergency shelter. If an individual or family cannot be diverted, rapid housing solutions are most effectively utilized for those who would remain homeless. This strategy enables us to maximize the use of shelter facilities and vouchers. OHS encourages best practices to be used in temporary shelter or when housing individuals and families. In addition, OHS awarded emergency shelters with rapid rehousing dollars in order to facilitate a timely and appropriate exit from shelter in order to support outcomes and measures for funding. OHS funds transitional housing in limited instances where studies have shown that it is effective among certain sub-populations.

The state strategic plan titled, 'Utah's Plan to Address Homelessness' can be found using the below link. Goals one through five in the strategic plan outline the OHS approach to emergency shelter and transitional housing needs of individuals experiencing homelessness.

<https://jobs.utah.gov/homelessness/homelessnessstrategicplan.pdf>

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

OHS follows the ESG requirement that all recipients must participate in their CoCs adopted coordinated entry system. ESG recipients utilize coordinated entry and assessment to make housing decisions. This systematic approach ensures resources are allocated to those in most need, provides the appropriate level of intervention, and decreases the amount of time a household will experience homelessness. Additionally, State ESG rapid rehousing funds are awarded to emergency shelters in an effort to facilitate moving chronically homeless individuals and families, veteran individuals and families and homeless youths into permanent housing. Additionally, the OHS has implemented quarterly reporting for all of our programs. These reports are broken into project types and focus heavily on exits into housing, as well as demonstrating how well supportive services are stabilizing an individual or families housing. For example, street outreach projects report on the number of participants enrolled from a place not meant for habitation, and the number of participants exiting to a temporary destination, institutional setting, or permanent destination. Rapid Rehousing projects report on the number of adults gaining or increasing employment and non-employment income, number of adults enrolled in mainstream benefits, and the average length of time between project start date and housing move-in date. There are established measures for emergency shelter, transitional housing, diversion, and permanent supportive housing. Tracking these measures enables the State to prioritize effective

projects and engage in data driven outcome conversations.

Refer to goals one through five in the strategic plan for additional detail and specific strategies.

<https://jobs.utah.gov/homelessness/homelessnessstrategicplan.pdf>

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

There are several systems throughout the state in place aimed towards homeless prevention in order to help low-income individuals and families avoid becoming homeless. Community Action Programs and other non-profits provide wrap-around services to address poverty and OHS is committed to supporting these efforts. TANF, HOPWA and CSBG grants are distributed state-wide to provide financial assistance to those who are extremely low-income and require short-term assistance in order to stabilize their housing.

The Utah Department of Human Services' (DHS) Division of Child and Family Services (DCFS) Practice Guidelines require a transition plan be developed at least 90 days prior to discharge with youth exiting foster care at age 18 and prohibits discharge to homelessness. Transition discharge plan to include: support services; housing; health care/insurance; vocational/educational needs; employment/workforce support. Persons exiting foster care are routinely discharged to family members, foster parents, independent living situations such as apartments, student housing, and other supervised living conditions. They may also be discharged to group homes or community residences that include supports and supervision. OHS also supports the Homeless Youth Resource Center (YRC) operated by Volunteers of America. The YRC provides case management, street outreach, and a drop-in center for at-risk and homeless youth.

The Utah Department of Corrections and Public Safety participate on the State Homeless Coordinating Committee and work with Local Homeless Coordinating Committees to connect inmates being released to housing, emergency shelter and other community resources. Additionally, services are provided to inmates to reduce recidivism and housing stability including: education, substance abuse treatment, vocational training/certification, employment (job readiness and resume courses) and transitional cognitive courses. Discharge options include residential treatment, boarding homes, halfway houses, market rate apartments, and family /friends.

For a description of the programs that ensure that persons returning from mental and physical health institutions receive appropriate supportive housing see MA-35.

The OHS will continue to support the efforts made by partnering agencies and provide assistance when applicable. The Utah Homelessness Council is made up of members of State Departments and local government leaders from across the state. Through the coordination of this council, OHS is able to participate in a variety of boards, work groups, and additional councils that address poverty and homelessness prevention across the state.

aside housing units will be targeted for compliance monitoring. The OHS will ensure that housing units originally targeted to support discharged populations continue to target those populations. The OHS will ensure that service providers are tapped into the State of Utah's affordable housing database of property and unit listings.

Discussion

Draft

AP-70 HOPWA Goals – 91.320(k)(4)

One year goals for the number of households to be provided housing through the use of HOPWA for:	
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family	11
Tenant-based rental assistance	39
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	0
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds	0
Total	50

AP-75 Barriers to affordable housing – 91.320(i)

Introduction:

Housing Affordability is an issue that HCD and OHS take very seriously. A large majority of HCD's funds go towards promoting affordable housing in the form of new affordable units and preservation of existing affordable units. HCD and OHS work with cities to eliminate barriers to fair housing.

State law requires communities to complete moderate income housing plans as part of their general plan requirement. Jurisdictions that are required to submit a plan, must select strategies from a menu of 24 strategies and develop a plan for implementation over a 5-year period to encourage affordable housing. Strategies address waiving development fees, adopting zoning that encourages construction of high-density housing near transit lines, housing preservation, and etc.

In addition, the new NHTF monies are being used to create new affordable housing for extremely low income households. While this is an important part of creating new affordable housing, NHTF funds will not be used in efforts to remove barriers to affordable housing at the local level.

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

The Moderate Income Housing program supports communities in the development of the moderate income housing plans within their general plan. Communities are required to adopt strategies and implementation plans to take action on moderate income housing. In the next year, the program will monitor communities' first progress report submission since the 2022 updates to statute. The Division also will engage with partners, like the Governor's Office of Planning and Budget, Utah League of Cities and Towns, and other groups providing technical assistance to communities in the development of plans and policies throughout the state related to moderate and affordable housing.

Staff provide technical training and guidance to municipalities regarding the appropriate analyses and evaluations for this plan. A database to provide communities with the moderate income housing supply, demand, and need is being developed and training on this new technology is planned to educate municipalities and counties on how to improve their affordable housing plans.

The CDBG program continues to promote the development of affordable housing through the regional application rating and ranking systems. Activities that assist in the production of affordable housing units are given extra points in the scoring process.

Discussion:

AP-85 Other Actions – 91.320(j)

Introduction:

Actions planned to address obstacles to meeting underserved needs

The biggest challenge to meeting the underserved needs in the non-entitlement areas of the state CDBG program is the lack of adequate federal funding from HUD. As cities and counties have grown in population and left the state program, the annual state CDBG allocation has dropped from a high of \$8.2 million in 2003 to only \$5.7 million in 2022. There simply isn't enough funding to meet the community development needs of the rural communities. Critical infrastructure projects; water, sewer, and public safety continue to be a high priority. With only \$600,000 - \$900,000 available in most AOG regions, only one or two of these projects can be funded in each region every year. The infrastructure is aging everywhere, the needs are never-ending, and costs for materials and labor are increasing. The regional rating and ranking systems award additional points for leveraged funds and this encourages applicants to seek matching funds for their projects. This system maximizes the CDBG impact throughout the state.

This is true for the other programs that HCD operates. A lack of funding is the primary concern for the HOME and HTF programs. Each year these programs are unable to adequately fund affordable projects, which would benefit that portion of the population, which is underserved.

The OHS Homelessness Strategic Plan describes several barriers, including perceptions of permanent housing, lack of staff resources, and transportation gaps for services. The State of Utah Homelessness Strategic Plan describes activities and measures that will address these barriers, through public engagement, gaps analysis, and other measures to determine how best to meet the needs of their service populations.

Actions planned to foster and maintain affordable housing

The HOME, ESG, and HOPWA programs are all focused on different segments of the housing market. These programs employ their own unique methods to fostering and maintaining affordable housing. The HOME program is dedicated to the creation of new affordable housing. Each year the HOME program is responsible for the creation of new affordable housing units. Over the last five years, OWHLF has averaged creating or preserving 1175 affordable units per year. The HOME program staff work with all the properties it funds to ensure that the properties are operated successfully. Staff study all properties to determine that they are economically viable. Staff also inspect all properties it funds to ensure that affordable housing is maintained in good condition and that all residents have submitted appropriate paperwork and are correctly placed within their units. Units approved by HOME target (and are affordable to) individuals which on average earn 42 percent of the area median income.

The ESG program is largely dependent on affordable housing for its rapid rehousing programs since it must meet all the rent reasonableness and fair market rent requirements. ESG subrecipients work to foster relationships with landlords and

maintain affordable housing lists in order to place their program participants in eligible, affordable units. The state provides training, support and resources in working with landlords and making affordable units a good investment. The OHS has outlined a major goal in its state strategic plan related to increasing accessible and affordable permanent housing opportunities across the state (<https://jobs.utah.gov/homelessness/homelessnessstrategicplan.pdf>). The OHS is focused on state-wide strategies and implementation around this goal to further support subrecipients and individuals experiencing homelessness.

The CDBG program funds projects intended to support affordable housing. The Bear River and Uintah Basin regions operate homebuyer assistance programs for low and moderate income homebuyers. The state CDBG program continues to preserve affordable housing units by supporting single family housing rehab programs in five of the six AOG regions. Low and moderate income (LMI) families depend on the CDBG program to make critical improvements to their homes such as water/sewer lines, roof replacement, ADA modifications, and heating systems. These programs make it possible for many elderly LMI persons to stay in their homes.

In addition, the National Housing Trust Fund will be used to create new affordable housing for extremely low income households. This is an important part of HCDs plan to foster and maintain affordable housing.

Actions planned to reduce lead-based paint hazards

The State of Utah has one of the lowest rates for lead poisoning for children under the age of 6 years, just one percent. Unlike the eastern United States, the housing stock in Utah is relatively new. Most of the housing stock is located in the Wasatch Front region where 76 % of the population resides. These urban, entitlement areas have received federal grants and are served by successful lead hazard reduction programs. The balance of the state that is served by the Utah small cities CDBG program has a small population and limited funding available for such targeted programs. Instead, most lead-based paint hazards are mitigated as a by-product of the single family housing rehab programs operated in four of the rural regions in the state. We encourage partnerships between the Weatherization, CDBG, HOME and NHTF programs so that, whenever possible, lead-based paint hazards can be mitigated in the homes that are being rehabilitated. NHTF funds are to be used primarily to create new housing so addressing lead-based paint hazards through the expenditure of NHTF funds will be rare. When such instances do occur they will be treated in the same manner as rehabilitation projects using other HUD funding such as HOME funding.

Actions planned to reduce the number of poverty-level families

By promoting affordable housing and the rapid rehousing of homeless households, DWS promotes stability and a footing for families to build the stability to earn enough to no longer be impoverished. Also case management and counseling is provided to assist households in this transition.

The annual CDBG allocation, Utah's Method of Distribution,

and the limitation of public service projects to 15% of the annual allocation, make it difficult to fund programs designed to reduce the number of poverty level families. Among the six regional associations of governments and Wasatch Front Regional Council with authority and control over project funding, priorities for 2023 continue to be community infrastructure improvements and affordable housing. Single family housing rehab programs preserve the affordable housing stock in the rural areas and improve the housing conditions for poverty-level families, but do not reduce their numbers.

The creation of affordable housing relieves the housing burden on low income households. By creating affordable housing through the HOME program and NHTF program HCD is allowing poverty level households a level of stability not otherwise possible.

Actions planned to develop institutional structure

There are no plans to change the method in which the federal block grant programs allocate their funds. Currently the HOME and HTF have very little institutional structure in that they do not funnel their funds through other entities.

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

The Olene Walker Housing Loan Fund also reaches out to public and private housing and social service agencies in its efforts. HCD works with cities, non-profits, and private developers and contractors in the course of completing its work.

The CDBG program allocates funding to six regional organizations and the Wasatch Front Regional Council. Application workshops are held throughout the state and the 10 housing authorities located in the non-entitlement areas are invited to apply for funding through eligible applicants (cities and counties). Decent, safe, affordable housing is a priority in Utah and CDBG funding is used by the housing authorities to acquire and rehabilitate affordable housing throughout the state. Since CDBG funds cannot be used to construct housing, acquisition projects are often leveraged with HOME funds for new single and multi-family housing projects carried out by private developers.

The NHTF is a relatively new tool used in coordination with the HOME program to create affordable housing. HCD expects applicants for these funds to come from private housing agencies, social service organizations, and local communities. Extensive coordination will take place as these programs operate to a greater degree than occurred previously.

The OHS has outlined a goal within its state strategic plan. Please see goal five located here: <https://jobs.utah.gov/homelessness/homelessnessstrategicplan.pdf>. The OHS will work to promote alignment and coordination across multiple systems of care to support individuals experiencing or at risk of homelessness. Measurable outcomes will include, but are not limited to, creating a subcommittee to take lead on this work, the development of a cross-system case conferencing practice guide, establish

data sharing agreements, implement a data sharing platform, and develop a generalized protocol for organizational and project performance evaluation. </p>

Discussion:

Draft

Program Specific Requirements

AP-90 Program Specific Requirements – 91.320(k)(1,2,3)

Introduction:

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.320(k)(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	350,000
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.	91.00%

HOME Investment Partnership Program (HOME)
Reference 24 CFR 91.320(k)(2)

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

OWHLF does not engage in other forms of investment beyond those identified in Section 92.205

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:

The Utah recapture resale provisions are attached as a separate unique grantee attachment in AD-25

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:

The Utah recapture resale provisions are attached as a separate unique grantee attachment in AD-25

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:

The state does not use federal funds to refinance multi-family housing projects.

Emergency Solutions Grant (ESG)
Reference 91.320(k)(3)

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

ESG Policies and Procedures have been included as an attachment.

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 Office of Homeless Services (OHS) works to ensure that all of the Continuum of Cares (CoCs) and ESG subrecipients are participating in a coordinated assessment system. When monitoring, OHS staff reviews these processes to ensure that subrecipients are actively engaged and offering a collaborative system in each community. OHS has recently built an LHC support team to provide guidance and support to the 13 LHCs in the state. The team, Homeless Systems

Coordination, has a member dedicated to Coordinated Entry and offers technical assistance to all LHCs.

The State's three CoCs have contracted for a quick assessment system built within HMIS, which was vetted through the LHCs by way of the coordinated assessment workgroup. A majority of LHCs use the VI-SPDAT as an initial assessment tool in conjunction with the point in time count to identify vulnerable and chronically homeless persons to be placed on a community-based housing wait list.

The State is collaborating with communities to research a more robust assessment tool to increase the accuracy of prioritization and sharing multiple data sources to effectively identify vulnerable populations. OHS consults with specialized service groups to address prioritization for homeless prevention services and participation from agencies that provide services to victims of domestic violence. Each CoC develops policy on how its system will address the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault or stalking, but who are seeking shelter or services from non-victim service providers. The three CoCs have implemented a coordinated assessment system as follows:

Balance of State (BoS) consists of 25 out of 29 Utah counties and 11 LHCs. Most BoS LHCs utilize the HMIS quick assessment. The CoC is using the VI-SPDAT as an initial assessment tool, which is used in conjunction with the point in time count to identify vulnerable and chronically homeless persons to be placed on a community-based housing wait list.

Mountainland CoC operates the coordinated intake and assessment system through 2-1-1 in partnership with the housing and homeless service providers. A client may present for services at any CoC service provider or contact the coordinated intake and assessment system through United Way 2-1-1. Following the initial standardized assessment (including an assessment for emergency services), the system gives direction for accessing appropriate services. Persons are tracked as they progress toward housing and/or support services. Prioritization is given to certain populations, such as vulnerable chronic homeless persons, DV survivors where housing is an element of their overall safety, and homeless families with children where family unity is essential.

Salt Lake COC developed a collaborative Coordinated Entry and Exit plan. Consensus exists for a COC wide, multi-access entry point quick assessment method for any homeless individual or family in need of emergency shelter or service. Our 211 system, service providers, government agencies, etc. publicize all existing access points, providing clear direction for accessing appropriate services. After entry into emergency service, individuals are tracked as they progress toward housing and/or support interventions. A community wide housing prioritization and placement process has been in place for four years. All homeless families and individuals prioritized for PSH placements are guided toward this process and placed into a housing program depending on assessment. Standardized assessments include an assessment for emergency services, eligibility, and enrollment materials for housing placements.

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).

State ESG funds are allocated through the OHS RFGA process, which includes reading, scoring, and

allocation recommendations from the Utah Homeless Network Steering Committee and final awards selection, based on recommendations, by the Utah Homelessness Council.

Any interested parties are invited to attend a pre-bidders meeting which outlines all details of the RFGA and allows for questions to be asked. Entities that may apply for funding include: nonprofit organizations, community and faith-based organizations and local government entities. The pre-bidders meeting covers specific guidance for and presentation of funding priorities and any changes in application process. The conclusion of the training also marks the day the online application will be open. After an appropriate amount of time, the application is closed and OHS staff and the allocation committee begin to review the applications and score them based on the strength of application, performance measures, and LHC priorities. A list of recommendations is presented to the UHC for final approval.

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.

As a state, Utah is not required to consult with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded. However, all state sub-recipients are required to have homeless or previously homeless individuals on their boards.

5. Describe performance standards for evaluating ESG.

State ESG recipient coordinates with each CoC to develop performance standards that will provide a measure to evaluate each ESG service provider's effectiveness including how well the provider succeeded at 1) targeting those who need the assistance most, 2) reducing the number of people living on the streets or emergency shelters, 3) shortening the time people spend homeless, and 4) reducing each program participant's housing barriers or housing stability risks. OHS recognizes that performance measures will continue to evolve as we become more proficient in administering the program and better able to identify and address the underlying issues of homelessness.

Housing Trust Fund (HTF)
Reference 24 CFR 91.320(k)(5)

1. How will the grantee distribute its HTF funds? Select all that apply:

☒ Applications submitted by eligible recipients

2. If distributing HTF funds through grants to subgrantees, describe the method for distributing HTF funds through grants to subgrantees and how those funds will be made available to state agencies and/or units of general local government. If not distributing funds through grants to subgrantees, enter "N/A".

N/A The State will not distribute the funds through subgrantees.

3. If distributing HTF funds by selecting applications submitted by eligible recipients,

a. Describe the eligibility requirements for recipients of HTF funds (as defined in 24 CFR § 93.2). If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Eligible activities for HTF are the production, preservation and rehabilitation of affordable rental housing developments in which all or a portion of the rental units are set aside for extremely low-income (30% AMI). Rents on HTF units must not exceed thirty percent (30%) of the income of the individual or family qualified to occupy the HTF Unit. Rent limits are published by HUD annually.

Any eligible entity can apply for HTF funds. Most applicants are partnerships between non-profit organizations, such as housing authorities, and private developers. The only accepted use of HTF funds is in the development of extremely affordable multi-family housing. These are units which target extremely low-income persons/households who make 30% or less of the Area Median Income (AMI). OWHLF will not use HTF to fund homeownership, or for administration or planning costs. All HTF-assisted rental housing will meet a 30-year affordability period. HCD administers HTF funds directly and does not employ a sub-grantee to distribute funds. HCD does prioritize applicants targeting homeless individuals.

b. Describe the grantee's application requirements for eligible recipients to apply for HTF funds. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Applications are accepted on a quarterly basis and are competitively scored. The application is submitted to Daniel Herbert-Voss at dhvoss@utah.gov. Application must be submitted before the application deadline. Applicants are usually in communication with Daniel Herbert-Voss throughout the application process. Applicants are then brought before the OWHLF board and the board approves or denies the request for funds. As part of the board review, OWHLF staff make a recommendation to fund or not fund an applicant.

c. Describe the selection criteria that the grantee will use to select applications submitted by eligible recipients. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Applications are competitively scored with additional points for homeless projects. Projects with lower AMIs receive more points than those with higher AMIs.

d. Describe the grantee's required priority for funding based on geographic diversity (as defined by the grantee in the consolidated plan). If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

HTF funds will be distributed statewide.

e. Describe the grantee's required priority for funding based on the applicant's ability to obligate HTF funds and undertake eligible activities in a timely manner. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Applications are underwritten and approved in part based on conditional commitments of other funding sources, site control, and other evidence that the project will proceed ahead of any HTF deadlines.

f. Describe the grantee's required priority for funding based on the extent to which the rental project has Federal, State, or local project-based rental assistance so that rents are affordable to extremely low-income families. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Projects with Project-Based Rental Assistance receive more points than those without rental assistance.

g. Describe the grantee's required priority for funding based on the financial feasibility of the project beyond the required 30-year period. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

HCD considers the financial feasibility of the project for the required 30-year affordability period. No consideration or priority is given on the basis of what may or may not happen in 30 years. No additional points are awarded for projects guaranteeing affordability beyond the 30 year affordability period.

h. Describe the grantee's required priority for funding based on the merits of the application in meeting the priority housing needs of the grantee (such as housing that is accessible to transit or employment centers, housing that includes green building and sustainable development features, or housing that serves special needs populations). If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

We require Energy Star 3.0 or minimum HERS rating unless a waiver is approved due to those enhancements not being cost effective.

i. Describe the grantee's required priority for funding based on the extent to which the application makes use of non-federal funding sources. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Leveraging is encouraged but is not a criterion in the scoring of projects.

4. Does the grantee's application require the applicant to include a description of the eligible activities to be conducted with HTF funds? If not distributing funds by selecting applications submitted by eligible recipients, select "N/A".

Yes

5. Does the grantee's application require that each eligible recipient certify that housing units assisted with HTF funds will comply with HTF requirements? If not distributing funds by selecting applications submitted by eligible recipients, select "N/A".

Yes

6. Performance Goals and Benchmarks. The grantee has met the requirement to provide for performance goals and benchmarks against which the grantee will measure its progress, consistent with the grantee's goals established under 24 CFR 91.315(b)(2), by including HTF in its housing goals in the housing table on the SP-45 Goals and AP-20 Annual Goals and Objectives screens.

Yes

7. Maximum Per-unit Development Subsidy Amount for Housing Assisted with HTF Funds.

Enter or attach the grantee's maximum per-unit development subsidy limits for housing assisted with HTF funds.

The limits must be adjusted for the number of bedrooms and the geographic location of the project. The limits must also be reasonable and based on actual costs of developing non-luxury housing in the area.

If the grantee will use existing limits developed for other federal programs such as the Low Income Housing Tax Credit (LIHTC) per unit cost limits, HOME's maximum per-unit subsidy amounts, and/or Public Housing Development Cost Limits (TDCs), it must include a description of how the HTF maximum per-unit development subsidy limits were established or a description of how existing limits developed for another program and being adopted for HTF meet the HTF requirements specified above.

The limits must be adjusted for the number of bedrooms and the geographic location of the project. The limits must also be reasonable and based on actual costs of developing non-luxury housing in the area.

If the grantee will use existing limits developed for other federal programs such as the Low-Income Housing Tax Credit (LIHTC) per unit cost limits, HOME's maximum per-unit subsidy amounts, and/or Public Housing Development Cost Limits (TDCs), it must include a description of how the HTF maximum per-unit development subsidy limits were established or a description of how existing limits developed for another program and being adopted for HTF meet the HTF requirements specified above.

The NHTF maximum per-unit subsidy limits by bedroom size are based on the HOME program maximum per-unit subsidy amounts, which are considered reasonable based on costs of developing non-luxury housing in Utah. As of April 1, 2023, maximum per-unit subsidy

limits are:

0-bedroom	- \$159,754
1-bedroom	- \$183,132
2-bedroom	- \$222,694
3-bedroom	- \$288,094
4-bedroom	- \$316,236

8. Rehabilitation Standards. The grantee must establish rehabilitation standards for all HTF-assisted housing rehabilitation activities that set forth the requirements that the housing must meet upon project completion. The grantee's description of its standards must be in sufficient detail to determine the required rehabilitation work including methods and materials. The standards may refer to applicable codes or they may establish requirements that exceed the minimum requirements of the codes. The grantee must attach its rehabilitation standards below.

In addition, the rehabilitation standards must address each of the following: health and safety; major systems; lead-based paint; accessibility; disaster mitigation (where relevant); state and local codes, ordinances, and zoning requirements; Uniform Physical Condition Standards; Capital Needs Assessments (if applicable); and broadband infrastructure (if applicable).

Rehabilitation Standards will be attached as a separate document.

9. Resale or Recapture Guidelines. Below, the grantee must enter (or attach) a description of the guidelines that will be used for resale or recapture of HTF funds when used to assist first-time homebuyers. If the grantee will not use HTF funds to assist first-time homebuyers, enter "N/A".

N/A

10. HTF Affordable Homeownership Limits. If the grantee intends to use HTF funds for homebuyer assistance and does not use the HTF affordable homeownership limits for the area provided by HUD, it must determine 95 percent of the median area purchase price and set forth the information in accordance with §93.305. If the grantee will not use HTF funds to assist first-time homebuyers, enter "N/A".

Any limitation or preference must not violate nondiscrimination requirements in § 93.350, and the grantee must not limit or give preferences to students. The grantee may permit rental housing owners to limit tenants or give a preference in accordance with § 93.303(d)(3) only if such limitation or preference is described in the action plan.

N/A

12. Refinancing of Existing Debt. Enter or attach the grantee's refinancing guidelines below. The guidelines describe the conditions under which the grantee will refinance existing debt. The grantee's refinancing guidelines must, at minimum, demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing. If the grantee will not refinance existing debt, enter "N/A."

N/A

Discussion:

HOPWA

Goals

Identify the method of selecting project sponsors and describe the one-year goals for HOPWA funded projects:

- short-term rent, mortgage, and utility assistance to prevent individual or family homelessness.
- tenant based rental assistance
- units provided in housing facilities that are being developed, leased, or operated

Applicants are selected through a request for grant application process. Applications are reviewed by community members with experience serving individuals experiencing homelessness and people living with HIV/AIDS. Projects are reviewed for previous performance (if applicable), providers experience serving people living with HIV/AIDS, experience with federal funding, and participation in local CoC, etc.

Attachments

Draft

Citizen Participation Comments



Public Hearing

May 31st 2022 9:00 AM

<https://meet.google.com/jav-hafm-iax>

2022 Annual Action Plan

A G E N D A

Welcome and Introduction

Elias Wise

Discussion of 2022 Annual Action Plan

Adjourn

Notes: No public comment on the 2022 annual action plan was received during the course of the 2022 Annual Action Plan Public Hearing.

Draft

Emergency Solutions Grant

Policy and Procedure Manual

Utah Office of Homeless Services
Department of Workforce Services



4.2023 v.1

Emergency Solutions Grant – 1.2023 v.1

1

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Section 1: Introduction

A. Description

The purpose of the Emergency Solutions Grant (ESG) is to provide funding to serve the needs of individuals and families experiencing homelessness. ESG funds are used to achieve the following objectives.

- Provide essential services to shelter residents
- Help operate shelters
- Improve the quality and quantity of Emergency Shelters for individuals and families experiencing homelessness
- Engage those experiencing homelessness
- Rapidly rehouse individuals and families who are experiencing homelessness
- Prevent individuals and families from becoming homeless

Units of general-purpose local government and/or private nonprofit organizations are eligible to apply for ESG funding.

B. Purpose

This document is designed to assist with implementing the ESG and is to be used as a reference for all agencies responsible for the administration of ESG initiatives and funds they receive from the State of Utah Department of Workforce Services (DWS), Office of Homeless Services (OHS). All agencies must disseminate pertinent information and ensure that their staff and partner agencies are aware of, understand, and comply with the guidelines in this document.

The purpose of this document is to highlight and emphasize grant requirements. Subrecipients must always refer to the Housing and Urban Development (HUD) ESG regulations for more in-depth and updated information. More information can be found by navigating to the below resources.

- The HUD Homeless Resource Exchange: <https://www.hudexchange.info/programs/esg/>
- 24 CFR 576: <https://www.ecfr.gov/current/title-24/subtitle-B/chapter-V/subchapter-C/part-576>
- 2 CFR 200: <https://www.ecfr.gov/current/title-24/subtitle-B/chapter-II/subchapter-A/part-200>

C. Definitions

At-Risk of Homelessness:

1. Category 1- Individuals and Families: An individual or family who:
 - i. Has an annual income below 30 percent of the median family income for the area, as determined by HUD;
 - ii. Does not have sufficient resources or networks (e.g., family, friends, faith-based or other social networks) that are immediately available to prevent them from moving to an Emergency Shelter or another place described in section i. of the "homeless" definition in this section; and
 - iii. Meets one of the following conditions:
 - a. Has moved because of economic reasons two or more times during the 60 days immediately preceding the application for Homelessness Prevention assistance;
 - b. Is living in the home of another because of economic hardship;
 - c. Has been notified in writing that their right to occupy their current housing or living situation will be terminated within 21 days after the date of the application for assistance;

- d. Lives in a hotel or motel and the cost of the hotel or motel stay is not paid by charitable organizations or by federal, state, or local government programs for low-income individuals;
 - e. Lives in a single-room occupancy or efficiency apartment unit in which there resides more than two persons or lives in a larger housing unit in which there reside more than 1.5 persons per room, as defined by the U.S. Census Bureau;
 - f. Is exiting a publicly funded institution, or system of care (e.g., health-care facility, mental health facility, foster care or another youth facility, or correction program or institution); 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 consolidated plan;
2. Category 2- Unaccompanied Children and Youth:
- i. A child or youth who does not qualify as "homeless" under this section, but qualifies as homeless under one of the following:
 - a. Section 387 (3) of the Runaway and Homeless Youth Act [(42 U.S.C. 5732a (3))],
 - b. Section 637 (11) of the Head Start Act [42 U.S.C. 9832 (11)],
 - c. Section 41403 (6) of the Violence Against Women Act of 1994 [42 U.S.C. 14043e-2 (6)],
 - d. Section 330 (h)(5)(A) of the Public Health Service Act [42 U.S.C. 254b (h)(5)(A)],
 - e. Section 3 (m) of the Food and Nutrition Act of 2008 [7 U.S.C. 2012 (m)],
 - f. Section 17 (b)(15) of the Child Nutrition Act of 1966 [42 U.S.C. 1786 (b)(15)]; or
3. Category 3- Families with Children and Youth: A child or youth who does not qualify as "homeless" under this section, but qualifies as "homeless" under section 725 (2) of the McKinney-Vento Homeless Assistance Act [42 U.S.C. 11434a (2)] and the parent(s) or guardian(s) of that child or youth is living with them.

Chronic Homelessness: An unaccompanied homeless individual (persons 18 years or older) with a disabling condition who has either been continuously homeless for a year or more or has had at least four separate occasions of homelessness in the past three years. To be considered chronically homeless, persons must have been sleeping in a place not meant for human habitation (e.g., living on the streets) or in an Emergency Shelter/Safe Haven during that time. Persons under the age of 18 are not counted as chronically homeless.

Consolidated Plan: A plan prepared in accordance with 24 CFR 91. An approved consolidated plan means a consolidated plan that has been approved by the HUD in accordance with 24 CFR 91.

Continuum of Care (CoC): A regional or local planning body that coordinates housing and service funding for families and individuals experiencing homelessness.

Disabling Condition: An individual who has at least one of the following:

- 1. A physical, mental, or emotional impairment, including an impairment caused by alcohol or drug misuse, post-traumatic stress disorder, or brain injury that:
 - i. Is expected to be long-continuing or of indefinite duration,
 - ii. Substantially impedes the individual's ability to live independently, and
 - iii. Could be improved by the provision of more suitable housing conditions
- 2. A developmental disability as defined in Section 1032 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 [42 U.S.C. 15002], or
- 3. The disease of acquired immunodeficiency syndrome (AIDS) or any condition arising from the etiologic agency for acquired immunodeficiency syndrome (HIV).

4. If the individual is a veteran who is disabled by an injury or illness incurred or aggravated during active military service and whose disability meets the disability definition in Section 223 of the Social Security Act.

Homeless:

1. Category 1- Literal Homeless: An individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:
 - i. An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;
 - ii. An individual or family living in a supervised 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, or local government programs for low-income individuals); or
 - iii. An individual who is exiting an institution where they 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;
2. Category 2- Imminent Risk of Homelessness: An individual or family who will imminently lose their primary nighttime residence provided that:
 - i. The primary nighttime residence will be lost within 14 days of the date of the application for homeless assistance;
 - ii. No subsequent residence has been identified; and
 - iii. The individual or family lacks the resources or support networks (e.g., family, friends, faith-based or other social networks) needed to obtain other permanent housing;
3. Category 3- Homeless Under Other Federal Statutes: 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 one of the following:
 - a. Section 387 of the Runaway and Homeless Youth Act [42 U.S.C. 5732a],
 - b. Section 637 of the Head Start Act [42 U.S.C. 9832],
 - c. Section 41403 of the Violence Against Women Act of 1994 [42 U.S.C. 14043e-2],
 - d. Section 330 (h) of the Public Health Service Act [42 U.S.C. 254b (h)],
 - e. Section 3 of the Food and Nutrition Act of 2008 [7 U.S.C. 2012],
 - f. Section 17 (b) of the Child Nutrition Act of 1966 [42 U.S.C. 1786 (b)], or
 - g. Section 725 of the McKinney-Vento Homeless Assistance Act [42 U.S.C. 11434a];
 - ii. Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the date of the application for homeless assistance;
 - iii. Have experienced persistent instability as measured by two moves or more during the 60 days immediately preceding the date of applying for homeless assistance; and
 - iv. Can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental health conditions, substance misuse, histories of domestic violence or childhood abuse (including neglect), the presence of a child or youth with a disability, or two or more barriers to employment, which include the lack of a high school degree or General Education Development (GED), illiteracy, low English proficiency, a history of incarceration or detention for criminal activity, and a history of unstable employment; or

4. Category 4- Fleeing/Attempting to Flee Domestic Violence (DV): Any individual or family who:
- i. Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence;
 - ii. Has no other residence; and
 - iii. Lacks the resources or support networks (e.g., family, friends, faith-based, or other social networks) to obtain other permanent housing.

Homeless Management Information System (HMIS): The information system designated by the CoC to comply with the HUD's data collection, management, and reporting standards and used to collect client-level data and data on the provision of housing and services to homeless individuals and families and persons at-risk of homelessness. For more information on HMIS, visit <https://utahhmis.org/>.

Private Nonprofit Organization: A private nonprofit organization that is a secular or religious organization described in section 501 (c) of the Internal Revenue Code of 1986 and is exempt from taxation under subtitle A of the Code, has an accounting system and a voluntary board, and practices nondiscrimination in the provision of assistance. A private nonprofit organization does not include a governmental organization, such as a public housing agency or housing finance agency.

Program Income: Program income includes any amount of a security or utility deposit returned to the recipient or subrecipient and shall have the meaning provided in 2 CFR 200.80.

Program Participant: An individual or family who is assisted under the ESG program. Also referred to as a client.

Recipient: The OHS, approved by the HUD, assumes financial responsibility and enters into a grant agreement with the HUD to administer funding according to the requirements of 24 CFR 576.

Subrecipient: A unit of general-purpose local government or private nonprofit organization to which a recipient makes available ESG funds. Also referred to as an agency.

Vulnerable Population: Individuals who are victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest (e.g., racial or ethnic minorities, people with a disability, people with AIDS, the elderly).

Unit of General-Purpose Local Government: Any city, county, town, township, parish, village, or other general-purpose political subdivision of a state.

Victim Service Provider: A private nonprofit organization whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking. This term includes rape crisis centers, battered women shelters, domestic violence transitional housing programs, and other programs.

Section 2: General Requirements

A. Eligible Components and Activities

According to the HUD, ESG funds may only be used for the below project types. Any costs not listed in 24 CFR 576 are assumed to be ineligible costs.

- Street Outreach
- Emergency Shelter
- Homelessness Prevention
- Rapid Re-housing Assistance
- Data Collection - Homeless Management Information System (HMIS)
- Administration Costs

Eligible Activities	
Street Outreach [24 CFR 576.101]	
Essential Activities	Engagement; case management; emergency health services; Emergency Shelter; emergency mental health services; transportation; services for vulnerable populations. For more information, refer to Section 3 Street Outreach
Emergency Shelter [24 CFR 576.102]	
Essential Activities	Facility renovation; essential services (e.g., case management, childcare, transportation); shelter operations; relocation assistance as necessary under the Uniform Relocation Act (URA). For more information, refer to Section 3 Emergency Shelter
Homeless Prevention [24 CFR 576.103, 576.105, 576.106]	
Essential Activities	Housing Relocation and Stabilization Services and Short- and/or Medium-term Rental Assistance. For more information, refer to Section 3 Homeless Prevention
Rapid Re-housing [24 CFR 576.104, 576.105, 576.106]	
Essential Activities	Housing Relocation and Stabilization Services and Short- and/or Medium-term Rental Assistance. For more information, refer to Section 3 Rapid Re-housing
HMIS [24 CFR 576.107]	
Essential Activities	HMIS and comparable database costs. For more information, refer to Section 3 HMIS

Administration [24 CFR 576.108]**Essential Activities**

Administrative activities including general management, oversight, coordination, and reporting on the program(s).
For more information, refer to Section 3 Administration

B. General Provisions

The total amount of the primary recipient's fiscal year grant that may be used for Street Outreach and Emergency Shelter activities cannot exceed 60 percent of the recipient's fiscal year grant. Lastly, administration costs cannot exceed 7.5 percent of a recipient's allocation.

C. Subrecipient Requirements

Eligible Subrecipients: All eligible subrecipients receiving ESG funding must meet the following requirements.

- Meet requirements set by the local CoC
- Have an active agency ESG policy and procedure manual that references the current policies and procedures of the HUD, the OHS, and any subrecipient-specific requirements (See Section 2 (c) Policies and Procedures).
- Serve the identified population and provide financial assistance and services as stated in the scope of work found in each of the subrecipient's ESG contract with the OHS.
- Apply the OHS' case management standards as outlined in a subrecipient's contract whenever applicable.

Policy and Procedures [24 CFR 576.400 (e)]: Each subrecipient must establish and consistently apply a well-defined, inclusive, organizational, and program-specific policy and procedure manual for providing ESG assistance. These policies and procedures should outline the commitment to appropriately serve clients and follow better practices. Policies and procedures must be consistent with the definitions of homeless and at-risk of homelessness [24 CFR 576.2], record-keeping requirements [24 CFR 576.500], and other categories outlined below. To be compliant with ESG rules and regulations, a subrecipient's policies and procedures manual must include procedures for the following:

- Evaluating individuals' and families' eligibility for assistance under ESG;
- Targeting, assessing, prioritizing, and reassessing individuals' and families' needs for essential services;
- Admission, diversion, referral, and discharge by ESG-funded Emergency Shelters, if applicable. These should include safeguards to meet vulnerable populations' safety and shelter needs;
- Coordination among homeless resource providers as referenced in 24 CFR 576.400 (b) and (c);
- Determining and prioritizing individuals and families for Homeless Prevention or Rapid Re-housing assistance, if applicable;
- Determining the portion of rent and utility costs that each program participant must pay (if any) while receiving homelessness prevention or Rapid Re-housing assistance, if applicable;
- Determining how long a program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time;
- Determining the type, amount, and duration of Housing Relocation and/or Stabilization Services to provide a program participant, if applicable;
 - No participant may receive more than 24 months of rental assistance within a three-year period
- Termination of assistance that examines all extenuating circumstances in determining when violations warrant termination. Termination should only occur in the most severe cases. Termination of assistance does not bar the household from receiving further assistance at a later

date from the subrecipient that terminated the household's original assistance. To terminate assistance or services, written procedures must contain at a minimum:

- Written notice to the program participant containing a clear statement of the reasons for termination;
- A review of the decision in which the program participant is given the opportunity to present written or oral objections before a neutral third party;
- Prompt written notice of the final decision to the program participant
- Ensuring the confidentiality of all records containing personally identifying information of any individual or family who applies for and/or receives ESG assistance. This includes but is not limited to the address or location of any domestic violence, dating violence, sexual assault, or stalking, the address or location of the shelter assisted with ESG funds, and the address or location of any housing of a program participant;
- Recordkeeping [24 CFR 576.500];
 - The OHS, the HUD, the Controller General of the United States, or any of their authorized representatives, have the right to access the project and any books, documents, papers, or other records of an ESG-assisted unit. Consistent with established confidentiality procedures, the public must also have access to the records regarding the use of ESG funds.
 - Outline how the agency will retain all documents pertaining to ESG funds for a minimum of six years. This includes but is not limited to documentation of the following:
 - Assistance provided to that participant;
 - Compliance with the applicable requirements for assisting;
 - Provisions on determining eligibility, amount, and type of assistance; and
 - Provisions on using appropriate assistance

Homeless Participation: The subrecipient must provide an opportunity, either through employment or volunteering, for the participation of at least one individual experiencing homelessness or an individual who formerly experienced homelessness on the board of directors or another equivalent policy-making entity of the subrecipient, to the extent that the entity considers and makes policies and decisions regarding any facilities, services, or other assistance that receives funding under ESG.

To the maximum extent possible, the subrecipient must also involve individuals and families experiencing homelessness in constructing, renovating, maintaining, and operating facilities assisted under ESG.

Faith-Based Activities [24 CFR 576.406]: Organizations that are religious or faith-based are eligible, on the same basis as any other organization, to receive ESG funds. No federal, state or local government receiving funds under ESG shall discriminate against an organization based on the organization's religious character or affiliation. Additionally, an organization that receives ESG funds shall not discriminate against a program participant or prospective program participant based on religion or religious belief.

Organizations directly funded under the ESG program may not engage in inherently religious activities as part of the programs or services funded under ESG. If an organization conducts these activities, the activities must be offered in a separate location and at a different time from the programs or services funded under ESG. Additionally, participation must be voluntary for program participants.

General Eligibility: ESG subrecipients must perform an initial evaluation to determine the eligibility of each individual or family receiving ESG assistance and the amount and type of assistance the individual or family needs to regain stability in permanent housing.

If an individual or family is ineligible to receive ESG assistance, documentation of the reason for that determination is required [576.401 (d)]. Agencies should have a process in place to refer persons ineligible for ESG assistance to the appropriate resources or a service provider that can assist them.

The priority for obtaining evidence of homelessness is as follows: (1) third-party documentation, (2) intake worker observations, and (3) self-certification. Subrecipients must include this prioritization in their written standards for intake, evaluation, and re-evaluation. A lack of third-party documentation must not prevent an individual or family from being immediately admitted to an Emergency Shelter, receiving Street Outreach services, receiving services provided by a victim service provider, or being immediately admitted to a shelter. Subrecipients must follow their written intake procedures, including any additional restrictions enforced by the subrecipient that is not in violation of 24 CFR 576.

Procurement: All projects must comply with the applicable city, state, or federal competitive procurement regulations or costs may not be reimbursable.

Federal procurement requirements as noted in 2 CFR 200 apply to all non-profit organizations acting as a subrecipient and all public entities. However, owners/sponsors/developers are not subject to federal procurement requirements.

Procurement requirements are provided in any funding notices or written agreements. Agencies are encouraged to contact the OHS staff if they have any questions about which procurement requirements apply to their project.

Agencies will be expected to provide a copy of their procurement policies and procedures that meet applicable federal and state regulations upon request of the OHS. The agency must coordinate with the OHS to ensure compliance with all applicable procurement requirements if a project includes any construction or rehabilitation.

Area-wide System Coordination Requirements [24 CFR 576.400]:

Coordination with Other Targeted Homeless Services: ESG recipients and their subrecipients must coordinate and integrate, to the maximum extent practicable, ESG-funded activities with other programs targeted to the people who experience homelessness in the area covered by the CoC or area over which the services are coordinated to provide a strategic, community-wide system to prevent and end homelessness for the area. For a list of example programs, see 24 CFR 576.400.

Coordination with Mainstream Resources: ESG recipients and their subrecipients must coordinate and integrate, to the maximum extent practicable, ESG-funded activities with mainstream housing, health, social services, employment, education, and youth programs for which families and individuals at-risk of homelessness and individuals and families experiencing homelessness may be eligible. See 24 CFR 576.400 (c) for a list of example programs.

Other Federal Requirements: The federal requirements outlined in 24 CFR 576.407 apply to participants in the ESG program. The requirements of this subpart include but are not limited to the following:

- Nondiscrimination and equal opportunity
- Disclosure requirements
- Debarred, suspended, or ineligible contractors
- Drug-free workplace

Section 3: Eligible Components

Street Outreach Component [24 CFR 576.101]

A. General

Allowable Street Outreach activities using ESG funds are those that provide essential services necessary to connect people who are experiencing unsheltered homelessness to an Emergency Shelter, housing, or critical services; and to provide urgent, non-facility-based care, as outlined in Section B below. Activities must coordinate with the CoC and other service providers to ensure that essential services related to Street Outreach are provided by CoC guidelines.

B. Eligible Activities and Costs

The eligible costs and activities associated with Street Outreach projects are below.

Street Outreach Refer to Appendix B for Ineligible Costs	
Engagement	
Activities	Initial assessment of needs and eligibility; providing crisis counseling; addressing urgent physical needs, such as providing meals, blankets, clothes, or toiletries; actively connecting and providing information and referrals to programs targeted to people who experience homelessness; mainstream social services and housing programs, including Emergency Shelter, transitional housing, community-based services, permanent supportive housing, and Rapid Re-housing programs
Eligible costs	The costs of activities to locate, identify, and build relationships with people experiencing unsheltered homelessness and engage with them to provide immediate support, intervention, and connections with homeless assistance programs; mainstream social services and housing programs; cell phone costs of outreach workers during the performance of the activities noted above
Case Management	
Activities	Using the centralized or coordinated assessment system as required under 24 CFR 576.400 (d); conducting the initial evaluation required under 24 CFR 576.401 (a), including verifying and documenting eligibility, counseling, developing, securing, and coordinating service; obtaining federal, state, and local benefits; monitoring and evaluating program participant progress; providing information and referrals to other providers; developing an individualized housing and service plan, including planning a path to permanent housing stability
Eligible costs	The costs of assessing housing and service needs; arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant

Emergency Health Services	
Eligible costs	Direct outpatient treatment of medical conditions that are provided by licensed medical professionals operating in community-based settings (i.e., streets, parks, and other places where individuals experiencing unsheltered homelessness are living) to the extent that other appropriate health services are inaccessible or unavailable within the area
Emergency Mental Health Services	
Activities	Crisis interventions; the prescription of psychotropic medications; explanation about the use and management of medications; combinations of therapeutic approaches to address multiple challenges
Eligible costs	Direct outpatient treatment by licensed professionals of mental health conditions operating in community-based settings (i.e., streets, parks, and other places where individuals experiencing unsheltered homelessness are living) to the extent that other appropriate mental health services are inaccessible or unavailable within the community
Transportation	
Activities	Program participant's travel on public transportation; service workers using their vehicles to visit program participants; purchasing or leasing a vehicle; operating and maintenance costs for a program vehicle; travel costs to assist program participant's usage of public transportation
Eligible costs	Program participant's travel on public transportation; mileage allowance for service workers using their vehicles to visit program participants; costs of purchasing or leasing a vehicle for the subrecipient in which staff transport program participants and/or staff serving program participants and the costs of gas, insurance, taxes, and maintenance for the vehicle; travel costs of the subrecipient to accompany or assist program participants to use public transportation
Services for Vulnerable Populations	
Activities	Provide services to youth experiencing homelessness; victim services; services for people living with HIV/AIDS, so long as the costs of providing these services are eligible under paragraphs 24 CFR 576.101 (a)(1)- 24 CFR 576.101 (a)(5)
Eligible costs	Provide service costs for serving youth experiencing homelessness; victim programs/services; services for people living with HIV/AIDS, so long as the costs of providing these services are eligible under paragraphs 24 CFR 576.101 (a)(1)-24 CFR 576.101 (a)(5)

C. Evaluation

The subrecipient must conduct an initial evaluation to determine the individual's or family's eligibility for receiving assistance with ESG funding, the amount of assistance needed, and the types of assistance required for the individual or family to regain stability in permanent housing. Additionally, the OHS requires all subrecipients to establish written procedures regarding how initial and re-evaluations are conducted to determine the eligibility of those receiving assistance through an ESG-funded program. Subrecipients are required to follow their written procedures, including any additional restrictions enforced by the recipient that is not in violation of 24 CFR 576. All evaluations must be conducted in accordance with the centralized or coordinated assessment requirements set for under 24 CFR 576.400 (d), the affiliated agency's policies and procedures, and the contents covered in this document.

In general, 24 CFR 576.400 (d) states that the subrecipient must utilize the designated CoC's centralized assessment system or coordinated assessment system as established by the HUD. Additionally, subrecipients are to collaborate with their CoC to ensure the screening, assessment, and referral of program participants are consistent with the written standards required by 24 CFR 576.400 (e). If the subrecipient is a victim service provider, they are not required to use their CoC's centralized or coordinated assessment system and are instead required to coordinate with the OHS to utilize a comparable database.

Evaluation documentation must be obtained to determine individual and family eligibility under the homeless definition of 24 CFR 576.2. The priority for obtaining evidence of homelessness is as follows: (1) third-party documentation, (2) intake worker observations, and (3) self-certification. Subrecipients must include this prioritization in their written standards for intake, evaluation, and re-evaluation. A lack of third-party documentation must not prevent an individual or family from being immediately admitted to an Emergency Shelter, receiving Street Outreach services, or receiving services provided by a victim service provider.

D. Eligibility

ESG funds for eligible activities related to Street Outreach must be used for providing essential services (as noted in section 3b of the Street Outreach Component section) necessary to reach out to individuals experiencing unsheltered homelessness.

If an individual or family is found to be ineligible to receive ESG assistance, reasonable documentation should be provided to show this determination as outlined in 24 CFR 576.400. Additionally, agencies receiving ESG funds should have a process in place to refer persons ineligible for ESG assistance to the appropriate resources or service providers that can assist them.

E. Minimum Period of Use

The subrecipient must provide services to individuals and families experiencing homelessness for at least the period during which ESG funds are provided.

F. Maintenance of Effort

If the subrecipient is a unit of general purpose local government, its ESG funds cannot be used to replace funds the local government provided for Street Outreach services during the immediately preceding 12-month period, unless the HUD determines that the unit of general purpose local government is in a severe financial deficit. For more information, refer to 24 CFR 576.101 (c).

Emergency Shelter Component [24 CFR 576.102]

A. General

The primary purpose of Emergency Shelter facilities is to provide a temporary shelter for individuals experiencing homelessness. Occupants must not be required to sign leases or occupancy agreements. Emergency Shelter programs are required to comply with all ESG requirements, including but not limited to, brokering services to help participants gain permanent housing and assist participants in improving financial stability via employment or through the acquisition of mainstream benefits. In general, ESG funds may be used for the costs associated with the following essential services:

- Serving individuals and families living in an Emergency Shelter
- Renovating buildings to be used as an Emergency Shelter for individuals and families experiencing homelessness
- Operating Emergency Shelters

ESG recipients operating Emergency Shelters are required to follow the admission, diversion, referral, and discharge standards as outlined by the local CoC and the subrecipient's written policies and procedures.

B. Eligible Activities and Costs

The eligible costs and activities associated with Emergency Shelter projects are below.

Emergency Shelter Refer to Appendix B for Ineligible Costs	
Essential Services	
Case Management	
Activities	Using the centralized or coordinated assessment system as required under 576.400 (d); conducting the initial evaluation required under 576.401 (a), including verifying and documenting eligibility; counseling; developing, securing, and coordinating services; obtaining federal, state, and local benefits; monitoring and evaluating program participant progress; providing information and referrals to other providers; providing ongoing risk assessment and safety planning with victims of domestic violence, dating violence, sexual assault, and stalking; developing an individualized housing and service plan including planning a path to permanent housing stability
Eligible costs	The cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant
Child Care	
Activities	Child care for program participants whose child is under the age of 13, unless disabled (for children with disabling conditions, the child must be under the age of 18)–child care center must be licensed by the jurisdiction for activities to be eligible
Eligible costs	The cost of child care for program participants, including providing meals and snacks and comprehensive and coordinated sets of appropriate developmental activities; the child care center must be licensed by the jurisdiction for costs to be eligible

Education Services	
Activities	Instruction or training in consumer education, health education, substance abuse, prevention, literacy, English as a second language, general education development; screening, assessing, and testing; individual or group instruction; tutoring; provision of books, supplies, and instructional material; counseling; referral to community resources
Eligible costs	Costs of improving knowledge and basic education skills of program participants if necessary for obtaining and maintaining housing
Employment Assistance and Job Training	
Activities	Services that assist individuals in securing employment; employment screening, assessment, or testing; structured job skills and job-seeking skills training; special training and tutoring, including literacy training and prevocational training; books and instructional material; counseling or job coaching; referral to community resources
Eligible costs	The costs of employment assistance and job training programs, including classroom, online, and/or computer instruction; on-the-job instruction; services that assist individuals in securing employment, acquiring learning skills, and/or increasing earning potential; providing reasonable stipends to program participants in employment assistance and job training programs
Outpatient Health Services	
Activities	Assessing a program participant's health problems and developing a treatment plan; assisting program participants to understand their health needs; providing directly or assisting program participants to obtain appropriate medical treatment, preventive medical care, and health maintenance services, including emergency medical services; providing medication and follow up services; providing preventive and non-cosmetic dental care
Eligible costs	The costs of direct outpatient treatment of medical conditions provided by licensed medical professionals—ESG funds may be used only for these services to the extent that other appropriate health services are unavailable within the community
Legal Services	
Activities	Child support, guardianship, paternity, emancipation, and legal separation; orders of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault, and stalking; the appeal of veterans and public benefit claim denials; resolution of outstanding criminal warrants; client intakes; preparation of cases for trial; provision of legal advice; representation at hearings; counseling
Eligible costs	The costs of hourly fees for legal advice and representation by attorneys licensed and in good standing with the bar association of the state in which the services are provided and by the person(s) under the

Eligible costs continued	supervision of a licensed attorney, regarding matters that interfere with the program participant's ability to obtain and retain housing—ESG funds may be used only for these services to the extent that other appropriate legal services are unavailable or inaccessible within the community; fees based on the actual services performed but only if the cost would be less than the costs of hourly fees; filing fees and other necessary court costs—if the subrecipient is a legal service provider and performs the services itself, the eligible costs are the subrecipient's employees' salaries and other costs necessary to perform the services
Life Skills Training	
Activities	Life skill activities to help program participants function independently in the community, including the following resources: budgeting; managing money; managing a household; resolving conflict; shopping for food and necessary items; improving nutrition; using public transportation; parenting
Eligible costs	The costs associated with teaching critical life management skills that have either not been learned or need to be relearned due to life circumstances
Mental Health Services	
Activities	Application of therapeutic processes to personal, family, situational, or occupational problems to bring about positive resolution of the problem or improved individual or family functioning or circumstances; crisis interventions; individual, family, or group therapy sessions; the prescription of psychotropic medications or explanations about the use and management of medications; combinations of therapeutic approaches to address multiple problems
Eligible costs	The costs associated with direct outpatient treatment by licensed professionals of mental health conditions—ESG funds may only be used for these services to the extent that other appropriate mental health services are unavailable or inaccessible within the community
Substance Abuse Treatment Services	
Activities	Client intake and assessment; outpatient treatment up to 30 days; group and individual counseling; drug testing
Eligible costs	The costs associated with services that are designed to prevent, reduce, eliminate, or deter relapse of substance abuse or addictive behaviors and are provided by licensed or certified professionals—ESG funds may only be used for these services to the extent that other appropriate substance abuse treatment services are unavailable or inaccessible within the community
Transportation	
Activities	Transportation of program participants to and from medical care, employment, child care, or other eligible essential service facilities

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Eligible costs	The costs associated with a program participant's travel on public transportation; if service workers use their vehicle, mileage allowance will be allotted; purchasing or leasing a vehicle for the subrecipient in which staff transports program participants and/or staff serves program participants and the cost of gas, insurance, taxes, and maintenance for the vehicle; travel costs of subrecipient staff to accompany or assist program participants to use public transportation
Services for Vulnerable Populations	
Activities	Services for youth experiencing homelessness; victim services; services for people living with HIV/AIDS
Eligible costs	Service provision costs for serving youth experiencing homelessness; victim programs/services, and services for people living with HIV/AIDS, so long as the costs of providing these services are eligible under paragraphs 24 CFR 576.102 (a) (1) -24 CFR 576.102 (a) (4)
<u>Shelter Operation</u>	
Shelter Operation Services	
Activities	Materials and activities associated with the maintenance (including minor or routine repairs) and operations of an Emergency Shelter
Eligible costs	The costs associated with the maintenance (including minor or routine repairs); rent; security; fuel; equipment; insurance; utilities; food; furnishings; supplies necessary for the operation of an Emergency Shelter; where no appropriate Emergency Shelter is available for an individual or family experiencing homelessness, hotel or motel vouchers can be purchased for that family or individual
<u>Shelter Renovation</u>	
Shelter Renovation Services	
Activities	Materials and activities associated with the renovation of an Emergency Shelter
Eligible costs	The costs associated with labor, materials, tools, and other costs for renovation (including major rehabilitation of an Emergency Shelter or conversion of a building into an Emergency Shelter)—the Emergency Shelter must be owned by a government entity or private nonprofit organization

C. Evaluation

The subrecipient must conduct an initial evaluation to determine the individual's or family's eligibility for receiving assistance with ESG funding, the amount of assistance needed, and the types of assistance required in order for the individual or family to regain stability in permanent housing. Additionally, the OHS requires all subrecipients to establish written procedures regarding how initial and re-evaluations are conducted to determine the eligibility of those receiving assistance through an ESG-funded program. Subrecipients are required to follow their written procedures, including any

additional restrictions enforced by the recipient that are not in violation of 24 CFR 576. All evaluations must be conducted in accordance with the centralized or coordinated assessment requirements set for under 24 CFR 576.400 (d), the affiliated agency's policies and procedures, and the contents covered in this document.

In general, 24 CFR 576.400 (d) states that the subrecipient must utilize the designated CoC's centralized assessment system or coordinated assessment system as established by the HUD. Additionally, subrecipients are to collaborate with their CoC to ensure the screening, assessment, and referral of program participants are consistent with the written standards required by 24 CFR 576.400 (e). If the subrecipient is a victim service provider, they are not required to use their CoC's centralized or coordinated assessment system and are instead required to coordinate with the OHS to utilize a comparable database.

Evaluation documentation must be obtained to determine individual and family eligibility under the homeless definition of 24 CFR 576.2. The priority for obtaining evidence of homelessness is as follows: (1) third-party documentation, (2) intake worker observations, and (3) self-certification. Subrecipients must include this prioritization in their written standards for intake, evaluation, and re-evaluation. A lack of third-party documentation must not prevent an individual or family from being immediately admitted to an Emergency Shelter, receiving Street Outreach services, or receiving services provided by a victim service provider.

D. Eligibility

ESG funds for activities related to an Emergency Shelter must be used for the costs of providing essential services (as noted in section 3b of the Emergency Shelter Component section) to individuals and families experiencing homelessness who are living in and receiving services from an Emergency Shelter.

If an individual or family is found to be ineligible to receive ESG assistance, reasonable documentation should be provided to show determination as outlined in 24 CFR 576.400. Additionally, agencies receiving ESG funds should have a process in place to refer persons ineligible for ESG assistance to the appropriate resources or service providers that can assist them.

E. Requirements

Shelter stays should be avoided if possible. If that is not possible, stays should be limited to the shortest time necessary to help participants regain permanent housing. If operating an ESG-funded family Emergency Shelter, the age of a child under the age of 18 must not be used as a basis for denying any family's admission to the facility.

F. Minimum Standards

Any Emergency Shelter for which ESG funds are used must meet state or local government safety and sanitation standards, as applicable, as well as all of the following standards. The subrecipient may also establish standards that exceed or add to these minimum standards. These standards must be described in the agency's policy and procedure manual. Lastly, all ESG-funded Emergency Shelter projects must comply with all state and local licensing requirements, which may impose additional safety standards.

Structure and Materials: The shelter building must be structurally sound to protect residents from the elements and not pose any threat to the health and safety of the residents. Any renovation (including major rehabilitation and conversion) carried out with ESG assistance must use Energy Star and Water Sense products and appliances.

Access: The shelter must be accessible in accordance with Section 504 of the Rehabilitation Act [29 U.S.C. 794] and implementing regulations in 24 CFR 8, the Fair Housing Act [42 U.S.C. 3601 et seq.], 24 CFR 100, Title II of the Americans with Disabilities Act [42 U.S.C. 12131 et seq.], and 28 CFR 35 where applicable.

Space and Security: Except where the shelter is intended for day use only, the shelter must provide each program participant in the shelter with an acceptable place to sleep and adequate space and security for themselves and their belongings.

Interior Air Quality: Each room or space within the shelter must have natural or mechanical means of ventilation. The interior air must be free of pollutants at a level that might threaten or harm the health of residents.

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

Additional Requirements:

- Sanitary facilities: Each program participant in the shelter must have access to sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.
- Thermal environment: The shelter must have all necessary heating/cooling facilities 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 in the shelter.
- Food preparation: Food preparation areas, if any, must contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.
- 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 Emergency Shelter. Where possible, smoke detectors must be located near sleeping areas. The fire alarm system must be designed for hearing-impaired residents. All public areas of the shelter must have at least one working smoke detector. There must also be at least one other means of exiting the building in the event of a fire or another emergency.

G. Minimum Period of Use

Renovated Buildings: Each building renovated with ESG must be maintained as a shelter for individuals and families experiencing homelessness for not less than a period of three or 10 years, depending on the type of renovation and value of the building. The value of the building is the reasonable monetary value assigned to the building, such as the value assigned by an independent real estate appraiser. The minimum use period must begin on the date the building is first occupied by a person experiencing homelessness and after the renovation is completed. A minimum period of use of 10 years must be enforced by a recorded deed or use restriction for major rehabilitation and conversion.

- Major Rehabilitation: If the rehabilitation cost of an Emergency Shelter exceeds 75 percent of the value of the building before rehabilitation, the minimum period of use is 10 years
- Conversion: If the cost to convert a building into an Emergency Shelter exceeds 75 percent of the value of the building after conversion, a minimum period of use is 10 years
- Renovation Other Than Major Rehabilitation or Conversion: In all other cases where ESG funds are used for renovation, the minimum period of use is three years

Essential Services and Shelter Operations: Where the recipient or subrecipient uses ESG funds solely for essential services or shelter operations, the subrecipient must provide services or shelter to people experiencing homelessness for the period during which the ESG funds are provided. The

subrecipient does not need to limit these services to a shelter or a particular site or structure, so long as the site or structure serves the same type of persons originally served with the assistance (e.g., families with children, unaccompanied youth, individuals with disabling conditions, or victims of domestic violence) or serves people who experience homelessness in the same area where the subrecipient originally provided the services or shelter.

H. Maintenance of Effort

The maintenance of effort requirements under 24 CFR 576.101 (c), which apply to the use of ESG funds for essential services related to Street Outreach, also applies to the use of such funds for essential services related to an Emergency Shelter.

Homeless Prevention Component [24 CFR 576.103]

A. General

Homeless Prevention ESG allowable activities are those that provide essential services to prevent persons from becoming homeless. Moreover, efforts must be made to prevent people from becoming homeless in a shelter or an unsheltered situation and rather, to regain housing stability. For this purpose, housing stability refers to increasing one's ability to stay in their current housing or moving to other permanent housing.

For Homeless Prevention, beneficiaries must meet the requirements described in 24 CFR 576.3 which includes that the participant must be at-risk of homelessness or meet the criteria in paragraph (2), (3), or (4) of the homeless definition [24 CFR 576.2] and have an annual median income (AMI) below 30 percent for the area as determined by the HUD. Please see the HUD-published AMI guidelines for specific amounts (<https://www.huduser.gov/portal/datasets/il.html>).

B. Eligible Activities and Costs

The eligible costs and activities associated with Homeless Prevention projects are below.

Homeless Prevention Refer to Appendix B for Ineligible Costs	
Short- and Medium-term Rental Assistance	
Activities	Financial rental assistance
Eligible costs	Rental assistance must not exceed more than 24 months in a three-year period—Short term rental assistance is defined as assistance up to three months; Medium-term rental assistance is defined as assistance anywhere from four-24 months—assistance can also include payment of rental arrears or any combination of the above eligible costs
Housing Relocation and Stabilization Services	
Activities	Housing search and placement; housing stability case management; mediation; legal services; credit repair
Eligible costs	The costs of rental applications, security deposits, last month's rent, utility deposits and payments, moving costs, legal services; credit repair

C. Evaluation

The subrecipient must conduct an initial evaluation to determine the individual's or family's eligibility for receiving assistance with ESG funding, the amount of assistance needed, and the types of assistance required in order for the individual or family to regain stability in permanent housing. Additionally, the OHS requires all subrecipients to establish written procedures regarding how initial and re-evaluations are conducted to determine the eligibility of those receiving assistance through an ESG-funded program. Subrecipients are required to follow their written procedures, including any additional restrictions enforced by the recipient that is not in violation of 24 CFR 576. All evaluations must be conducted in accordance with the centralized or coordinated assessment requirements set for under 24 CFR 576.400 (d), the affiliated agency's policies and procedures, and the contents covered in this document.

In general, 24 CFR 576.400 (d) states that the subrecipient must utilize the designated CoC's centralized assessment system or coordinated assessment system as established by the HUD. Additionally, subrecipients are to collaborate with their CoC to ensure the screening, assessment, and referral of program participants are consistent with the written standards required by 24 CFR 576.400 (c). If the subrecipient is a victim service provider, they are not required to use their CoC's centralized or coordinated assessment system and are instead required to coordinate with the OHS to utilize a comparable database.

Evaluation documentation must be obtained to determine individual and family eligibility under the homeless definition of 24 CFR 576.2. The priority for obtaining evidence of homelessness is as follows: (1) third-party documentation; (2) intake worker observations; and (3) self-certification. Subrecipients must include this prioritization in their written standards for intake, evaluation, and re-evaluation. A lack of third-party documentation must not prevent an individual or family from being immediately admitted to an Emergency Shelter, receiving Street Outreach services, or receiving services provided by a victim service provider.

D. Eligibility

ESG funds must be used to provide Housing Relocation and Stabilization services or Short- and/or Medium-term Rental Assistance necessary to prevent an individual or family from moving into an Emergency Shelter or another place described in paragraph (1) of the homeless definition in 24 CFR 576.2. To determine eligibility for assistance, intake procedures must show compliance with the at-risk of homeless status as outlined in 24 CFR 576.2 and 24 CFR 576.400 (c). This assistance may be provided to individuals and families who meet the criteria under the at-risk of homeless definition, or who meet the criteria in paragraphs (2), (3), or (4) of the homeless definition in 24 CFR 576.2 and have an annual income below 30 percent AMI, as determined by the HUD.

If the subrecipient is providing homelessness prevention services to a program participant, subrecipients must require the program participant to meet with a case manager not less than once per month to assist the program participant in ensuring long-term housing stability and develop a plan to assist the program participant to retain permanent housing after ESG assistance ends, taking into account all relevant considerations.

It is acceptable to require all program participants to meet with a case manager, but it is not acceptable to require participation in supportive services. It is important to note that the purpose of any case management should be to engage the program participant. Additionally, a program participant must not be evicted or terminated from the program for not meeting with a case manager.

Subrecipients are exempt from the monthly meeting requirements if the Violence Against Women Act of 1994 (VAWA) or the Family Violence Prevention and Services Act (FVSP) prohibit that

subrecipient from making its shelter or housing conditional on the participant's acceptance of services.

In the event that an individual or family is found to be ineligible to receive ESG assistance, reasonable documentation should be provided to show determination as outlined in 24 CFR 576.400. Additionally, agencies receiving ESG funds should have a process in place to refer persons ineligible for ESG assistance to the appropriate resources or service providers that can assist them.

E. Short- and Medium-term Rental Assistance [24 CFR 576.106]

General: Both Homeless Prevention and Rapid Re-housing projects may provide a program participant with up to 24 months of rental assistance during any three-year period or the life of the grant funding, whichever comes first.

Discretion to Set Caps and Conditions: Subject to the requirements of this section, the subrecipient may set a maximum amount or percentage of rental assistance that a program participant may receive; a maximum number of months that a program participant may receive rental assistance; or a maximum number of times that a program participant may receive rental assistance. The subrecipient may also require program participants to share in the costs of rent.

- Subrecipients must ensure additional criteria are applied consistently
- Any additional criteria must be documented in the subrecipient's associated policy and procedure manual

Use with Other Subsidies (Cost Type Rule): Except for a one-time payment or rental arrears on the tenant's portion of the rental payment, rental assistance cannot be provided to a program participant who is receiving tenant-based rental assistance, living in a housing unit receiving project-based rental assistance, or operating assistance through other public sources. Rental assistance may not be provided to a program participant who has been provided with replacement housing payments under the URA during the period of time covered by the URA payments.

Rent Restrictions—Fair Market Rent/Rent Reasonableness: Short- and Medium-term Rental Assistance can be provided to eligible program participants only when the rent, including utilities (gross rent), for the housing unit complies with fair market rent (FMR) and rent reasonableness standards.

- Does not exceed the FMR established by HUD for each geographic area, as provided under 24 CFR 888 (a)
- Complies with HUD's standard of rent reasonableness as established under 24 CFR 982.507.

HUD has created a resource that explains FMR and rent reasonableness requirements and describes how to determine and document compliance with each. ESG subrecipients are required to use this resource to develop policies, procedures, and documentation requirements to comply with the HUD rules. To view this document, navigate here: <https://www.onecpd.info/resources/documents/ESG-Rent-Reasonableness-and-FMR.pdf>.

Lease Requirements: Each program participant receiving rental assistance must have a legally binding written lease for the rental unit unless the assistance is solely for rental arrears. At a minimum, the lease must:

- Be between the owner and the program participant as the tenant;
- Identify the address/unit where the program participant will reside;
- Identify the terms of the agreement (i.e., dates of tenancy, monthly amount due, grace period, etc.); and
- Be signed and dated by both parties

Where the assistance is solely for rental arrears, an oral agreement may be accepted in place of a written lease; only if the agreement gives the program participant an enforceable leasehold interest under state law and the agreement and rent owed are sufficiently documented by the owner's financial records, rent ledgers, or canceled checks. For program participants living in housing with project-based rental assistance, the lease must have an initial term of one year. Note, this is not the same requirement as the Rental Assistance Agreement Requirement below.

Rental Assistance Agreement: The subrecipient may make rental assistance payments only to an owner with whom the subrecipient has entered into a rental assistance agreement. The rental assistance agreement must set forth the terms under which rental assistance must be provided, including the requirements that apply under this section. The rental assistance agreement must provide that during the term of the agreement, the owner must give the subrecipient a copy of any notice to the program participant to vacate the housing unit or any complaint used under state or local law to commence an eviction action against the program participant (see suggestions for rental assistance agreement). Note, this is in addition to the Lease Requirement above.

Late Payments: The subrecipient must make timely payments to each owner in accordance with the Rental Assistance Agreement. The Rental Assistance Agreement must contain the same payment due date, grace period, and late payment penalty requirements as the program participant's lease. The subrecipient is solely responsible for paying late payment penalties with non-ESG funds that it incurs.

Tenant-Based Rental Assistance:

- A program participant who receives tenant-based rental assistance may select a housing unit in which to live and may move to another unit or building and continue to receive rental assistance, as long as the program participant continues to meet the program requirements.
- The subrecipient may require that all program participants live within a particular area for the period in which rental assistance is provided.
- The rental assistance agreement with the owner must terminate and no further rental assistance payments under that agreement may be made if:
 - The program participant moves out of the housing unit for which the program participant has a lease;
 - The lease terminates and is not renewed; or
 - The program participant becomes ineligible to receive ESG rental assistance

Project-Based Rental Assistance: If the subrecipient identifies a permanent housing unit that meets ESG requirements and becomes available before a program participant is identified to lease the unit, the subrecipient may enter into a rental assistance agreement with the owner to reserve the unit and subsidize its rent in accordance with the following requirements:

- The rental assistance agreement may cover one or more permanent housing units in the same building. Each unit covered by the rental assistance agreement ("assisted unit") may only be occupied by program participants, except as provided under 24 CFR paragraph (I)(4) of this section.
- The subrecipient may pay up to 100 percent of the first month's rent, provided that a program participant signs a lease and moves into the unit before the end of the month for which the first month's rent is paid. The rent paid before a program participant moves into the unit must not exceed the rent to be charged under the program participant's lease and must be included when determining that program participant's total rental assistance.
- The subrecipient may make monthly rental assistance payments for each whole or partial month an assisted unit is leased to a program participant. When a program participant moves out of an assisted unit, the subrecipient may pay the next month's rent (i.e., the first month's rent for a new program participant,) as provided in 24 CFR paragraph (I)(2) of this section.

- The program participant's lease must not condition the term of occupancy to the provision of rental assistance payments. If the program participant is determined ineligible or reaches the maximum number of months over which rental assistance can be provided, the subrecipient must suspend or terminate the rental assistance payments for the unit. If the payments are suspended, the individual or family may remain in the assisted unit as permitted under the lease, and the subrecipient may resume payments if the individual or family again becomes eligible and needs further rental assistance. If the payments are terminated, the rental assistance may be transferred to another available unit in the same building, provided that the other unit meets all ESG requirements.
- The rental assistance agreement must have an initial term of one year. When a new program participant moves into an assisted unit, the term of the rental assistance agreement may be extended to cover the initial term of the program participant's lease. If the program participant's lease is renewed, the rental assistance agreement may be renewed or extended, as needed, up to the maximum number of months for which the program participant remains eligible.
 - Under no circumstances may the subrecipient commit ESG funds to be expended beyond the expenditure deadline in 24 CFR 576.203 or commit funds for a future ESG grant before the grant is awarded.

Changes in Household Composition: The limits on assistance under this section apply to the total assistance an individual receives, either as an individual or as part of a family.

Rent and Utility Standards: Rent and utility payments must meet the HUD's rent reasonableness standard and must not exceed FMR as established by the HUD for the area. Copies of supporting documentation for rental and utility payments are required for each household receiving that type of assistance from an ESG-funded program or project. Monthly allowances for utilities are used to determine compliance with the rent restriction. Subrecipients are required to follow additional requirements set by the CoC, such as minimum contributions to rent/utilities by the tenant (if applicable).

Individuals or households receiving Homeless Prevention assistance must be at or below 30 percent of the AMI. AMI limits are available on the HUD's website and are updated annually.

Re-evaluations for program participants utilizing homelessness prevention assistance must occur not less than once every three months. At a minimum, each re-evaluation of eligibility must establish that the program participant does not have an annual income that exceeds 30 percent of the AMI, as determined by the HUD, and that the program participant lacks sufficient resources and support networks necessary to retain housing without ESG assistance.

F. Housing Relocation and Stabilization Services [24 CFR 576.105]

General: Both Homeless Prevention Assistance and Rapid Re-housing Assistance include Housing Relocation and Stabilization Services which may provide:

- Financial Assistance Costs
- Services Costs

Financial Assistance Costs: ESG funds may be used to pay housing owners, utility companies, and other third parties for the following costs. Note this does not include Rental Assistance.

- Rental application fees: That are charged by the owner to all applicants.
- Security deposits: That is equal to no more than two months' rent. Subrecipients have the discretion to determine how to handle security deposits. If a subrecipient recovers the deposit, it must be treated/reported as program income.
- Last month's rent: If necessary to obtain housing for a program participant, the last month's rent may be paid from ESG funds to the owner of that housing at the time the owner is paid the

security deposit, and the first month's rent. This assistance must not exceed one month's rent and must be included in calculating the program participant's total rental assistance, which cannot exceed 24 months during any three-year period.

- Utility deposit: May be eligible if required by the utility company for all customers for gas, electric, water, and sewage.
- Utility payments: For up to 24 months per program participant, per service, including up to six months of utility payments in arrears, per service. A partial payment of a utility bill counts as one month. This assistance may only be provided if the program participant or a member of the same household has an account in their name with a utility company or proof of responsibility to make utility payments. Eligible utility services are gas, electricity, water, and sewage. No program participant shall receive more than 24 months of utility assistance within any three-year period.
- Moving costs: Such as truck rental or hiring a moving company. This assistance may include payment of temporary storage fees for up to three months, provided that the fees are accrued after the date the program participant begins receiving assistance and before the program participant moves into permanent housing.

Service Costs: ESG funds may be used to pay the costs of providing the following services.

- Housing search and placement: Services or activities necessary to assist program participants in locating, obtaining, and retaining suitable permanent housing, include the following:
 - Assessment of housing barriers, needs, and preferences;
 - Development of an action plan for locating housing;
 - Housing search;
 - Outreach to and negotiation with owners;
 - Assistance with submitting rental applications and understanding leases;
 - Assessment of housing for compliance with ESG requirements for habitability, lead-based paint, and rent reasonableness;
 - Assistance with obtaining utilities and making moving arrangements;
 - Tenant counseling
- Housing stability case management: ESG funds may be used to pay the cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for a program participant who resides in permanent housing or to assist a program participant in overcoming immediate barriers to obtaining housing. This assistance:
 - Must utilize the centralized or coordinated assessment system to evaluate individuals and families applying for or receiving homelessness prevention or Rapid Re-housing assistance;
 - Must conduct the initial evaluation including verifying and documenting eligibility, for individuals and families applying for homelessness prevention or Rapid Re-housing assistance;
 - Cannot exceed 30 days during the period the program participant is seeking permanent housing;
 - Cannot exceed 24 months during the period the program participant is living in permanent housing.
- Mandatory services: Assistance through the ESG program is intended to be provided as part of a system-wide approach. To evaluate and coordinate services to the greatest extent possible, ESG subrecipients providing ESG-funded assistance or housing and relocation services must:
 - Develop a plan with each program participant on how they will retain permanent housing after the ESG assistance ends [24 CFR 576.401 (e)(1)(ii)], taking into account all relevant considerations, such as the program participant's current or expected income and expenses; other public or private assistance for which the program participant will be eligible and likely to receive; and the relative affordability or available housing in the area.

- Require program participants to meet with a case manager not less than once per month while they are receiving ESG assistance to implement the plan and monitor progress towards housing stability [24 CFR 576.401 (e)(1)(i)].
- Exception: Subrecipients are exempt from the requirement to meet with program participants monthly if they also receive funding under the VAWA or the FVSP because these programs prohibit making housing conditional on the program participant's acceptance of services [24 CFR 576.401 (e)(2)].
- Assist program participants in obtaining appropriate supportive services, as well as connecting 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.
- Have 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 [24 CFR 576.400 (e)(3)(v)].
- **Optional Services:**
 - Mediation: ESG funds may pay for mediation between the program participant and the owner or person(s) with whom the program participant is living, provided that the mediation is necessary to prevent the program participant from losing permanent housing in which the program participant currently resides.
 - Legal services: ESG funds may pay for legal services [24 CFR 576.102 (a)(1)(vi)], except that the eligible subject matters also include landlord/tenant matters, and the services must be necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing the permanent housing in which the program participant currently resides.
 - Credit repair: ESG funds may pay for credit counseling and other services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems.

Maximum Amounts and Periods of Assistance: The subrecipient may set a maximum dollar amount that a program participant may receive for each type of financial assistance (see Financial Assistance Costs portion of this section) as well as a maximum period for which the program participant may receive any of the types of assistance or services under this section. Except for housing stability case management, the total period for which any program participant may receive services under the Service Costs portion of this section must not exceed 24 months during any three-year period. The limits on the assistance under this section apply to the total assistance an individual receives, either as an individual or as part of a family.

- The OHS will verify this criterion is documented in the subrecipient's associated policies and procedures

Use with Other Subsidies: Financial assistance under the Financial Assistance Costs portion of this section cannot be provided to a program participant who is receiving the same type of assistance through other public sources or to a program participant who has been provided with replacement housing payments under the URA, during the period of time covered by the URA payments.

G. Minimum Standards [24 CFR 576.403]

The subrecipient cannot use ESG funds to help a program participant remain or move into housing that does not meet the minimum habitability standards provided in this section. The subrecipient may also establish standards that exceed or add to these minimum standards. If the subrecipient chooses to add to the minimum standards outlined below, additional components must be outlined in the subrecipient's policies and procedures and approved by the OHS.

Structure and materials: The structures must be structurally sound to protect residents from the elements and not pose any threat to the health and safety of the residents.

Space and security: Each resident must be provided adequate space and security for themselves and their belongings. Each resident must be provided with an acceptable place to sleep.

Interior air quality: Each room or space must have a natural or mechanical means of ventilation. The interior air must be free of pollutants at a level that might threaten or harm the health of residents.

Water supply: The water supply must be free from contamination.

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

Thermal environment: The housing must have any necessary heating/cooling facilities in proper operating condition.

Illumination and electricity: The structure 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 in the structure.

Food preparation: All food preparation areas must contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.

Fire safety:

- There must be a second means of exiting the building in the event of a fire or another emergency.
- Each unit must include at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors must be located, to the extent practicable, in a hallway adjacent to a bedroom. If the unit is occupied by hearing-impaired persons, smoke detectors must have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person.
- The public areas of all housing 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, daycare centers, hallways, stairwells, and other common areas

Habitability Inspection Requirement and Purpose: ESG funding must only be spent on units that are inspected and found to be safe, sanitary, and decent. Requirements are designed to protect the people served from unsafe or unhealthy living conditions. See Appendix C for an example of a Housing/Unit Eligibility Form and Inspection Form.

Lead-Based Inspection Requirement Purposes: The lead-based paint requirements exist to protect vulnerable families from potential health hazards. To prevent lead poisoning in young children, ESG subrecipients must comply with the Lead-Based Paint Poisoning Prevention Act [42 U.S.C. 4821-4846], the Residential Lead-Based Paint Hazard Reduction Act of 1992 [42 U.S.C. 4851-4856], and implementing regulations in 24 CFR part 35, subparts A, B, H, J, K, M, and R. As agencies provide assistance to and advocate on behalf of disadvantaged populations, it is important to understand that the lead rule is a tool that helps ensure the safety and well-being of clients. This guidance was developed to assist subrecipients in understanding how the lead-based paint regulations apply to

ESG. (For more detailed information, see [Understanding the Lead-Based Paint Requirements: Guidance for ESG Subrecipients](#)).

H. Minimum Period of Use

The subrecipient must provide services to people who experience homelessness for at least the period during which ESG Homeless Prevention funding is being provided.

I. Maintenance of Effort

Projects assisted with Homeless Prevention ESG funds must be provided in accordance with the subrecipient's written standards and procedures and follow guidelines written in CFR 24 576.105 and 24 CFR 576.106.

Rapid Re-housing Assistance Component [24 CFR 576.104]

A. General

Rapid Re-housing ESG allowable activities are those that provide Housing Relocation and Stabilization Services and Short- and/or Medium-term Rental Assistance that is necessary to help an individual or family experiencing homelessness move as quickly as possible into permanent housing and to achieve stability in that housing.

For Rapid Re-housing assistance, beneficiaries must meet requirements described in 24 CFR 576.104 which includes that the participant must meet the criteria for the homeless definition (under 24 CFR 576.2) or live in an Emergency Shelter or other place described in paragraph (1) of the homeless definition.

B. Eligible Activities and Costs

The eligible costs and activities associated with Rapid Re-housing projects are below.

Rapid Re-housing Refer to Appendix B for Ineligible Costs	
Short- and Medium-term Rental Assistance	
Activities	Financial rental assistance
Eligible costs	Rental assistance must not exceed more than 24 months in a three-year period—Short-term rental assistance is defined as assistance for up to three months; Medium-term rental assistance is defined as assistance anywhere from four-24 months. Assistance can also include payment of rental arrears or any combination of the above eligible costs
Housing Relocation and Stabilization Services	
Activities	Housing search and placement; housing stability case management; mediation; legal services; credit repair
Eligible costs	The costs of rental applications, security deposits, last month's rent, utility deposits and payments, moving costs, legal services, credit repair

C. Evaluation

The subrecipient must conduct an initial evaluation to determine the eligibility of each individual or family's eligibility for ESG assistance, the amount of assistance needed, and the types of assistance required in order for the individual or family to regain stability in permanent housing. Additionally, the State of Utah and the OHS require all subrecipients to establish written procedures regarding how initial and re-evaluations are conducted to determine the eligibility of those receiving assistance through an ESG-funded program. Subrecipients are required to follow their written procedures, including any additional restrictions enforced by the subrecipient that is not in violation of 24 CFR 576. All evaluations must be conducted in accordance with the centralized or coordinated assessment requirements set for under 24 CFR 576.400 (d), the affiliated agency's policies and procedures, and the contents covered in this document.

In general, 24 CFR 576.400 (d) states that the subrecipient must utilize the designated CoC's centralized assessment system or coordinated assessment system as established by the HUD. Additionally, subrecipients are to collaborate with their CoC to ensure the screening, assessment, and referral of program participants are consistent with the written standards required by 24 CFR 576.400 (e). If the subrecipient is a victim service provider, they are not required to use their CoC's centralized or coordinated assessment system and are instead required to coordinate with the OHS to utilize a comparable database.

Evaluation documentation must be obtained to determine individual and family eligibility under the homeless definition of 24 CFR 576.2. The priority for obtaining evidence of homelessness is as follows: (1) third-party documentation; (2) intake worker observations; and (3) self-certification. Subrecipients must include this prioritization in their written standards for intake, evaluation, and re-evaluation. A lack of third-party documentation must not prevent an individual or family from being immediately admitted to an Emergency Shelter, receiving Street Outreach services, or receiving services provided by a victim service provider.

D. Eligibility

ESG funds must be used to provide Housing Relocation and Stabilization Services or Short- and/or Medium-term Rental Assistance necessary to help an individual or family experiencing homelessness move as quickly as possible into permanent housing and achieve stability. This assistance may be provided to program participants who meet the criteria under paragraph (1) of the homeless definition in 24 CFR 576.2 or who meet the criteria under paragraph (4) of the homeless definition and live in an Emergency Shelter or other place described in paragraph (1) of the homeless definition. To determine eligibility for assistance, intake procedures must show compliance with homeless status as outlined in 24 CFR 576.2.

If the subrecipient is providing Rapid Re-housing services to a program participant, subrecipients must require the program participant to meet with a case manager, not less than once per month to assist the program participant in ensuring long-term housing stability and develop a plan to assist the program participant to retain permanent housing after ESG assistance ends, taking into account all relevant considerations.

It is acceptable to require all program participants to meet with a case manager, but it is not acceptable to require participation in supportive services. It is important to note that the purpose of any case management should be to engage the program participant. Additionally, a program participant must not be evicted from or terminated from, the program for failure to meet with the case manager.

In the event that an individual or family is found to be ineligible to receive ESG assistance, reasonable documentation should be provided to show determination as outlined in 24 CFR 576.400

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(d). Additionally, agencies receiving ESG funds should have a process in place to refer persons ineligible for ESG assistance to the appropriate resources or service providers that can assist them.

E. Short- and Medium-term Rental Assistance [24 CFR 576.106]

General: Both Homeless Prevention and Rapid Re-housing projects may provide a program participant with up to 24 months of rental assistance during any three-year period or the life of the grant funding, whichever comes first.

Discretion to Set Caps and Conditions: Subject to the requirements of this section, the subrecipient may set a maximum amount or percentage of rental assistance that a program participant may receive; a maximum number of months that a program participant may receive rental assistance; or a maximum number of times that a program participant may receive rental assistance. The subrecipient may also require program participants to share in the costs of rent.

- Subrecipients must ensure additional criteria are applied consistently
- Any additional criteria must be documented in the subrecipient's associated policies and procedures

Use with Other Subsidies (Cost Type Rule): Except for a one-time payment or rental arrears on the tenant's portion of the rental payment, rental assistance cannot be provided to a program participant who is receiving tenant-based rental assistance or living in a housing unit receiving project-based rental assistance or operating assistance through other public sources. Rental assistance may not be provided to a program participant who has been provided with replacement housing payments under the URA during the period covered by the URA payments.

Rent Restrictions—Fair Market Rent/Rent Reasonableness: Short- and Medium-term Rental Assistance can be provided to eligible program participants only when the rent including utilities (gross rent) for the housing unit complies with fair market rent (FMR) and rent reasonableness.

- Does not exceed the FMR established by HUD for each geographic area, as provided under 24 CFR 888 (a)
- Complies with HUD's standard of rent reasonableness as established under 24 CFR 982.507.

HUD has created a resource that provides an explanation of FMR and rent reasonableness requirements and describes how to determine and document compliance with each. ESG subrecipients are required to use this resource to develop policies, procedures, and documentation requirements to comply with HUD rules. To view this document, navigate here:

<https://www.onecpd.info/resources/documents/ESG-Rent-Reasonableness-and-FMR.pdf>.

Lease Requirements: Each program participant receiving rental assistance must have a legally binding written lease for the rental unit unless the assistance is solely for rental arrears. At a minimum, the least must:

- Be between the owner and the program participant as the tenant;
- Identify the address/unit where program participants will reside;
- Identify the terms of the agreement (i.e., dates of tenancy, monthly amount due, grace period, etc.); and
- Be signed and dated by both parties
- Where the assistance is solely for rental arrears, an oral agreement may be accepted in place of a written lease. If the agreement gives the program participant an enforceable leasehold interest under state law and the agreement and rent owed are sufficiently documented by the owner's financial records, rent ledgers, or canceled checks. For program participants living in housing with project-based rental assistance, the lease must have an initial term of one year. Note, this is not the same requirement as the Rental Assistance Agreement Requirement below.

Rental Assistance Agreement: The subrecipient may make rental assistance payments only to an owner with whom the subrecipient has entered into a rental assistance agreement. The rental assistance agreement must set forth the terms under which rental assistance must be provided, including the requirements that apply under this section. The rental assistance agreement must provide that during the term of the agreement, the owner must give the subrecipient a copy of any notice to the program participant to vacate the housing unit or any complaint used under state or local law to commence an eviction action against the program participant (see suggestions for rental assistance agreement). Note, this is in addition to the Lease Requirement above.

Late Payments: The subrecipient must make timely payments to each owner in accordance with the Rental Assistance Agreement. The Rental Assistance Agreement must contain the same payment due date, grace period, and late payment penalty requirements as the program participant's lease. The subrecipient is solely responsible for paying late payment penalties with non-ESG funds that it incurs.

Tenant-Based Rental Assistance:

- A program participant who receives tenant-based rental assistance may select a housing unit in which to live and may move to another unit or building and continue to receive rental assistance, as long as the program participant continues to meet the program requirements.
- The subrecipient may require that all program participants live within a particular area for the period in which rental assistance is provided.
- The rental assistance agreement with the owner must terminate and no further rental assistance payments under that agreement may be made if:
 - The program participant moves out of the housing unit for which the program participant has a lease;
 - The lease terminates and is not renewed; or
 - The program participant becomes ineligible to receive ESG rental assistance

Project-Based Rental Assistance: If the subrecipient identifies a permanent housing unit that meets ESG requirements and becomes available before a program participant is identified to lease the unit, the subrecipient may enter into a rental assistance agreement with the owner to reserve the unit and subsidize its rent in accordance with the following requirements:

- The rental assistance agreement may cover one or more permanent housing units in the same building. Each unit covered by the rental assistance agreement ("assisted unit") may only be occupied by program participants.
- The subrecipient may pay up to 100 percent of the first month's rent, provided that a program participant signs a lease and moves into the unit before the end of the month for which the first month's rent is paid. The rent paid before a program participant moves into the unit must not exceed the rent to be charged under the program participant's lease and must be included when determining that program participant's total rental assistance.
- The subrecipient may make monthly rental assistance payments only for each whole or partial month an assisted unit is leased to a program participant. When a program participant moves out of an assisted unit, the subrecipient may pay the next month's rent (i.e., the first month's rent for a new program participant).
- The program participant's lease must not condition the term of occupancy to the provision of rental assistance payments. If the program participant is determined ineligible or reaches the maximum number of months over which rental assistance can be provided, the subrecipient must suspend or terminate the rental assistance payments for the unit. If the payments are suspended, the individual or family may remain in the assisted unit as permitted under the lease, and the subrecipient may resume payments if the individual or family again becomes eligible and needs further rental assistance. If the payments are terminated, the rental assistance may be transferred to another available unit in the same building, provided that the other unit meets all ESG requirements.

- The rental assistance agreement must have an initial term of one year. When a new program participant moves into an assisted unit, the term of the rental assistance agreement may be extended to cover the initial term of the program participant's lease. If the program participant's lease is renewed, the rental assistance agreement may be renewed or extended, as needed, up to the maximum number of months for which the program participant remains eligible.
 - Under no circumstances may the subrecipient commit ESG funds to be expended beyond the expenditure deadline in 24 CFR 576.203 or commit funds for a future ESG grant before the grant is awarded.

Changes in Household Composition: The limits on assistance under this section apply to the total assistance an individual receives, either as an individual or as part of a family.

Rent and Utility Standards: Rent and utility payments must meet the HUD's rent reasonableness standard and must not exceed FMR as established by the HUD for the area. Copies of supporting documentation for rental and utility payments are required for each household receiving that type of assistance from an ESG-funded program or project. Monthly allowances for utilities are used to determine compliance with the rent restriction. Subrecipients are required to follow additional requirements set by the CoC, such as minimum contributions to rent/utilities by the tenant (if applicable).

Individuals or households receiving Rapid Rehousing assistance must be at or below 30 percent of the AMI. AMI limits are available on the HUD's website and are updated annually.

Re-evaluations for program participants utilizing Rapid Rehousing assistance must occur not less than once annually. At a minimum, each re-evaluation of eligibility must establish that the program participant does not have an annual income that exceeds 30 percent of the median family income for the area, as determined by the HUD and that the program participant lacks sufficient resources and support networks necessary to retain housing without ESG assistance.

F. Housing Relocation and Stabilization Services [24 CFR 576.105]

General: Both Homeless Prevention Assistance and Rapid Re-housing Assistance include Housing Relocation and Stabilization Services which may provide:

- Financial Assistance Costs
- Services Costs

Financial Assistance Costs: ESG funds may be used to pay housing owners, utility companies, and other third parties for the following costs. Note this does not include Rental Assistance.

- Rental application fees: that are charged by the owner to all applicants.
- Security deposits that are equal to no more than two months' rent. Subrecipients have the discretion to determine how to handle security deposits. If a subrecipient recovers the deposit, it must be treated/reported as program income.
- Last month's rent: if necessary to obtain housing for a program participant, the last month's rent may be paid from ESG funds to the owner of that housing at the time the owner is paid the security deposit and the first month's rent. This assistance must not exceed one month's rent and must be included in calculating the program participant's total rental assistance, which cannot exceed 24 months during any three-year period.
- Utility deposit: may be eligible if standard required by the utility company for all customers for gas, electric, water, and sewage.
- Utility payments: for up to 24 months per program participant, per service, including up to six months of utility payments in arrears, per service. A partial payment of a utility bill counts as one month. This assistance may only be provided if the program participant or a member of the same household has an account in their name with a utility company or proof of responsibility.

to make utility payments. Eligible utility services are gas, electric, water, and sewage. No program participant shall receive more than 24 months of utility assistance within any three-year period.

- Moving costs: such as truck rental or hiring a moving company. This assistance may include payment of temporary storage fees for up to three months, provided that the fees are accrued after the date the program participant begins receiving assistance and before the program participant moves into permanent housing.
- Transportation costs for participants (e.g., bus, train) are not eligible.
- Payment of temporary storage fees in arrears is not eligible.
- ESG funds cannot be used to cover the costs of damages incurred by a program participant.

Service Costs: ESG funds may be used to pay the costs of providing the following services.

- Housing search and placement: Services or activities necessary to assist program participants in locating, obtaining, and retaining suitable permanent housing, include the following:
 - Assessment of housing barriers, needs, and preferences;
 - Development of an action plan for locating housing;
 - Housing search;
 - Outreach to and negotiation with owners;
 - Assistance with submitting rental applications and understanding leases;
 - Assessment of housing for compliance with ESG requirements for habitability, lead-based paint, and rent reasonableness;
 - Assistance with obtaining utilities and making moving arrangements;
 - Tenant counseling
- Housing stability case management: ESG funds may be used to pay the cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for a program participant who resides in permanent housing or to assist a program participant in overcoming immediate barriers to obtaining housing. This assistance:
 - Must utilize the centralized or coordinated assessment system to evaluate individuals and families applying for or receiving homelessness prevention or Rapid Re-housing assistance;
 - Must conduct the initial evaluation including verifying and documenting eligibility, for individuals and families applying for homelessness prevention or Rapid Re-housing assistance;
 - Cannot exceed 30 days during the period the program participant is seeking permanent housing;
 - Cannot exceed 24 months during the period the program participant is living in permanent housing.
- Mandatory services: Assistance through the ESG program is intended to be provided as part of a system-wide approach. To evaluate and coordinate services to the greatest extent possible, ESG subrecipients providing ESG-funded rental assistance or housing and relocation services must:
 - Develop a plan with each program participant on how they will retain permanent housing after the ESG assistance ends [24 CFR 576.401 (e)(1)(ii)], taking into account all relevant considerations, such as the program participant's current or expected income and expenses; other public or private assistance for which the program participant will be eligible and likely to receive; and the relative affordability or available housing in the area.
 - Require program participants to meet with a case manager not less than once per month while they are receiving ESG assistance to implement the plan and monitor progress towards housing stability [24 CFR 576.401 (e)(1)(i)].
 - Exception: Subrecipients are exempt from the requirement to meet with program participants monthly if they also receive funding under the VAWA or the FVSP

because these programs prohibit making housing conditional on the program participant's acceptance of services [24 CFR 576.401 (e)(2)].

- Assist program participants in obtaining appropriate supportive services, as well as connecting 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.
- Have 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 [24 CFR 576.400 (e)(3)(v)].
- Optional services:
 - Mediation: ESG funds may pay for mediation between the program participant and the owner or person(s) with whom the program participant is living, provided that the mediation is necessary to prevent the program participant from losing permanent housing in which the program participant currently resides.
 - Legal services: ESG funds may pay for legal services [24 CFR 576.102 (a)(1)(vi)], except that the eligible subject matters also include landlord/tenant matters. Additionally, the services must be necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing the permanent housing in which the program participant currently resides.
 - Credit repair: ESG funds may pay for credit counseling and other services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems.
- Limitation on Housing Stability Case Management Under the Rapid Re-housing Component: Often, households that are eligible for Rapid Re-housing assistance reside in an Emergency Shelter or in a place not meant for human habitation while they wait for a unit to be identified. The following principles for charging the costs of housing stability case management under Rapid Re-housing apply in these situations:
 - Subrecipients may provide housing stability case management assistance under the Rapid Re-housing component for up to 30 days during the period the program participant is residing on the street or in an Emergency Shelter and seeking permanent housing [24 CFR 576.105 (b)(2)].
 - If the program participant needs more than 30 days of housing stability case management assistance while they are sleeping in an Emergency Shelter, are on the street, or staying in another place not meant for human habitation. In the preceding scenario, costs must be charged either to an Emergency Shelter or Street Outreach project, as appropriate. The costs are then subject to the cap on these components.
 - Once the program participant is in permanent housing, housing stability case management can be provided under the Rapid Re-housing component for up to 24 additional months.

Maximum Amounts and Periods of Assistance: The subrecipient may set a maximum dollar amount that a program participant may receive for each type of financial assistance under paragraph (Financial Assistance Costs portion of this section) as well as a maximum period for which a program participant may receive any of the types of assistance or services under this section. Except for housing stability case management, the total period for which any program participant may receive services under the service costs portion of this section must not exceed 24 months during any three-year period. The limits on the assistance under this section apply to the total assistance an individual receives, either as an individual or as part of a family.

- The OHS will verify these criteria are documented in the subrecipient's policies and procedures manual

Use with Other Subsidies: Financial assistance under the Financial Assistance Costs portion of this section cannot be provided to a program participant who is receiving the same type of assistance through other public sources or to a program participant who has been provided with replacement housing payments under the URA during the period of time covered by the URA payments.

G. Minimum Period of Use

The subrecipient must provide services to individuals and families experiencing homelessness for at least the period during which ESG funds are provided.

H. Maintenance of Effort

Projects assisted with Rapid Re-housing assistance must be provided in accordance with the subrecipient's written standards and procedures and follow guidelines in 24 CFR 576.105 and 24 CFR 576.106.

Homeless Management Information System Component [24 CFR 576.107]

A. General

The subrecipient must ensure that data on all persons served and all activities assisted with ESG funds are entered into the Homeless Management Information System (HMIS).

If a subrecipient is prohibited from entering into HMIS, the subrecipient must utilize a comparable database in accordance with the HUD's standards on participation, data collection, and reporting. For instance, if the subrecipient is a victim service provider or a legal service provider, it may use a comparable database that collects client-level data over time (i.e., longitudinal data) and generate unduplicated aggregate reports based on the data. Information entered into a comparable database must not be entered directly into or provided to HMIS.

Activities funded under this section must comply with the HUD's standards on participation, data collection, and reporting under HMIS. If a subrecipient's employee is engaging in HMIS-eligible activities in addition to one or more ESG component(s) or non-ESG grant, the subrecipient must document the costs and rationale used to determine the portion of the costs assigned to each component and/or program.

B. Eligible Activities and Costs

The eligible costs and activities associated with HMIS are below.

HMIS Refer to Appendix B for Ineligible Costs	
Costs of Contributing Data to HMIS	
Activities	Using ESG funds to pay the costs of contributing data to the HMIS designated by the CoC for the area
Eligible costs	Purchasing or leasing computer hardware; purchasing software or software licenses; purchasing or leasing equipment, including telephones, fax machines, and furniture; obtaining technical support; leasing office space; paying charges for electricity, gas, water, phone service, and high-speed data transmission necessary to operate or contribute data to the

Eligible costs (continued)	HMIS; paying salaries for operating HMIS, including completing data entry, monitoring and reviewing data quality, completing data analysis; reporting to the HMIS Lead; training staff on using the HMIS or a comparable database, implementing and complying with HMIS requirements; paying costs of staff to travel to and attend HUD-sponsored and HUD-approved training on HMIS and programs authorized by Title IV of the McKinney-Vento Homeless Assistance Act; paying staff travel costs to conduct intake; paying participation fees charged by the HMIS Lead if the subrecipient is not the HMIS Lead
HMIS Lead Agency Costs	
Activities	Hosting and maintaining HMIS software or data
Eligible costs	ing, or repairing HMIS software or data; upgrading, customizing, and enhancing the HMIS; integrating and warehousing data, including the developing of a data warehouse for use in aggregating data from subrecipients using multiple software systems; administering the system; reporting to providers such as the CoC and the HUD; conducting training on using the system or a comparable database (including travel to the training)
Victim Service Providers	
Activities	Establishing and operating a comparable database that collects client-level data
Eligible costs	Eligible costs include those that occur as a result of establishing and operating a comparable database that collects client-level data over time and generates unduplicated aggregate reports based on the data that is not entered directly into HMIS

Administration Activities Component [24 CFR 576.108]

A. General

Eligible costs cannot exceed the established indirect or direct admin cost allocation for the agency. Eligible activities include those that are related to the planning and execution of ESG activities and exclude staff and overhead costs directly related to carrying out other eligible activities. The OHS must share its funds for administrative costs with its subrecipients which are units of general-purpose local government. The amount shared must be reasonable under the circumstances.

B. Eligible Activities and Costs

The eligible costs and activities associated with the administrative components are below.

Administrative Costs Refer to Appendix B for Ineligible Costs	
General Management, Oversight, and Coordination	
Activities	Supporting the recipient's staff, the staff of the subrecipient, or other staff engaged in program administration activities

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Eligible costs	Eligible costs include those associated with preparing program budgets and schedules; amending budgets and schedules; developing systems for assuring compliance with program requirements; developing interagency agreements and agreements with subrecipients and contractors; monitoring program activities for progress and compliance with program requirements; preparing reports and other documents directly related to the program for submission to the HUD; coordinating the resolution of audit and monitoring findings; evaluating program results against stated objectives; managing or supervising persons whose responsibilities with regard to the program include such assignments as described above; travel costs incurred for monitoring of subrecipients; administrative services performed under third-party contracts or agreements; other costs for goods and services required for administration of the program, including rental or purchase of equipment, insurance, utilities, office supplies, and rental and maintenance but not purchase of office space
Training on ESG Requirements	
Activities	ESG training, including those sponsored by the HUD
Eligible costs	Eligible costs include those associated with providing training on ESG requirements and attending the HUD-sponsored ESG training
Consolidated Plan	
Activities	Preparing and amending ESG and homeless-related sections of the consolidated plan
Eligible costs	Eligible costs include those associated with preparing and amending the ESG and homeless-related sections of the consolidated plan in accordance with the ESG requirements and 24 CFR part 91
Environmental Review	
Activities	Carrying out environmental reviews
Eligible costs	Eligible costs include those associated with carrying out the environmental review responsibilities under 24 CFR 576.407

Section 4: Indirect Costs [24 CFR 576.109]

A. General

ESG grant funds may be used to pay indirect costs in accordance with 2 CFR 200 (e). Indirect costs must be clearly outlined in the subrecipients contract with the OHS.

B. Allocation

Indirect costs may be allocated to each eligible activity under 24 CFR 576.108 so long as that allocation is consistent with 2 CFR 200 (e).

C. Expenditure Limits

The indirect costs charged to an activity subject to an expenditure limit under 24 CFR 576.100 must be added to the direct costs charged for that activity when determining the total costs subject to the expenditure limit.

Section 5: Matching Funds [24 CFR 576.201]

A. General

The OHS satisfies the match requirement for all ESG funding before awarding subrecipients.

Section 6: Obligation, Expenditure, and Payment Requirements [24 CFR 576.203]

A. Obligation of Funds

Funds Allocated to the State of Utah: Within 60 days from the date that the HUD signs the grant agreement with the state (or grant amendment for reallocated funds), the recipient must obligate the entire grant, except the amount for its administrative costs. This requirement is met by a subgrant agreement with, or a letter of award, requiring payment from the grant to a subrecipient.

Within 120 days after the date that the state obligates its funds to a unit of general purpose local government, the subrecipient must obligate all of those funds by a subgrant agreement with, or a letter of award, requiring payment to, a private non-profit organization; a procurement contract; or the written designation of a department within the government of the subrecipient to directly carry out an eligible activity.

B. Expenditures

The subrecipient must draw down and expend funds from each year's grant no less than once during each quarter of the subrecipient's program year. For the purposes of this paragraph, expenditure means either an actual cash disbursement for a direct charge for a good or service or an indirect cost or the accrual of a direct charge for a good or service or an indirect cost. All expenses within a state fiscal year must be paid to subrecipients within 15 days of the close of the fiscal year. Any expenses submitted by subrecipients to the OHS for reimbursement more than 15 days after the end of the state fiscal year may be deemed ineligible.

C. Payments to Subrecipients

The recipient must pay each subrecipient for allowable costs within 30 days of receiving the subrecipient's complete payment request. This requirement also applies to each subrecipient that is a unit of general-purpose local government.

D. Sanctions

If the OHS determines that a subrecipient is in noncompliance with any of the materials covered in 24 CFR 576, ESG-related documents published by the HUD, 2 CFR 200, or any of the contents covered in this document, the OHS reserves the right to take any of the following sanctions.

- Issue a warning letter that further failure to comply with such requirements will result in a more serious sanction;

- Condition a future grant;
- Direct the grantee to stop the incurring of costs with grant amounts;
- Require that some or all of the grant amounts be repaid to the OHS;
- Reduce the level of funds the grantee would otherwise be entitled to receive; or
- Elect not to provide future grant funds to the grantee until appropriate actions are taken to ensure compliance.

E. Financial Management Requirements

Projects and programs receiving funds administered by the HUD must abide by the financial management requirements of 2 CFR 200 (d). Projects and programs must demonstrate:

- Accurate, current, and complete disclosure of financial results of each federally sponsored project;
- Accounting records that accurately detail the source and application of federal funds;
- Effective control and accounting of funds/property;
- Budgetary control with comparisons of outlays to budget;
- Proper cash management;
- Written procedures to determine allowable costs;
- Source documentation;

F. Audit Requirements for Non-Profit Organizations

2 CFR 200 (f) sets forth the standards for audits of non-federal entities expending federal awards.

Increased Audit Threshold: One of the significant changes is the raised threshold which requires a non-federal entity to have a single or program-specific audit conducted for any year in which the non-federal entity expends \$750,000 or more (up from \$500,000) [2 CFR 200.501 (a)].

Making Audits Publicly Available: Auditees must make copies of their audit available for public inspection, ensuring that protected personally identifiable information is not included. Audit reports must be submitted to the Federal Audit Clearinghouse (FAC) and all federal agencies, pass-through entities, and others interested in an audit report must obtain it from the FAC. Indigenous Tribes may opt-out of authorizing the FAC to publish the reporting package on the internet, but are then responsible for providing the reporting package directly to any affected pass-through entities and also making it available for public inspection [2 CFR 200.512 (b)(2)].

Subrecipients are required to submit a copy of a financial audit of programs receiving ESG funds no later than 90 days after the end of the subrecipient's fiscal year-end. Said audit shall be prepared by an independent auditor according to the guidelines for financial and compliance audits of federally assisted programs in 2 CFR 200. Any deficiencies in audit reports must be fully cleared by the subrecipient within 30 days after receipt.

Section 7: Recipient and Subrecipient Overarching Obligations [24 CFR 576 subpart E]

A. Conflict of Interest [24 CFR 576.404]

Organizational Conflicts of Interest: The provision of any type or amount of ESG assistance may not be conditioned on an individual's or family's acceptance or occupancy of an Emergency Shelter or housing owned by the recipient, the subrecipient, or a parent or subsidiary of the subrecipient. No subrecipient may, concerning individuals or families occupying housing owned by the subrecipient, or any parent or subsidiary of the subrecipient, carry out the initial evaluation required under 24 CFR 576.401 or administer homelessness prevention assistance under 24 CFR 576.103.

Individual Conflicts of Interest: For the procurement of goods and services, the subrecipients must comply with the codes of conduct and conflict of interest requirements under 24 CFR 85.36 (for governments) and 24 CFR 84.42 (for private nonprofit organizations). For all other transactions and activities, the following restrictions apply:

Persons covered: The conflict of interest provisions of this section apply to any person who is an employee, agent, consultant, officer, or elected or appointed official of the subrecipient.

Conflicts prohibited: No person described in this section who exercises or has exercised any functions or responsibilities concerning activities assisted under the ESG program, or who is in a position to participate in a decision-making process or gain inside information about activities assisted under the program, may obtain a financial interest or benefit from an assisted activity; have a financial interest in any contract, subcontract, or agreement concerning an assisted activity; or have a financial interest in the proceeds derived from an assisted activity, either for themselves or for those with whom they have family or business ties, during their tenure or the one year following their tenure.

Exceptions: Exceptions may be made on a case-by-case basis in alignment with 24 CFR 576.404 (b)(3). For more information, communicate with the OHS.

Contractors/Subgrantees: All contractors/subgrantees of the recipient or subrecipient must comply with the same requirements that apply to subrecipients under this section.

B. Anti-Discrimination Standards

Federally funded housing projects/programs are subject to the [Executive Order 11246](#), as amended, which prohibits agencies from discriminating against employees or applicants. If it is unlikely that the procedures that the subrecipient intends to use to make known the availability of the facilities, assistance, and services will reach persons of any particular race, color, religion, sex, age, national origin, familial status, or disability who may qualify for those facilities and services, the subrecipient must establish additional procedures that ensure that those persons are made aware. The recipient and subrecipient must comply with all federal regulations below. For more detailed information, refer to the associated CFR.

- Fair Housing
 - 24 CFR 100
 - Utah Code 57-21-5
- Americans with Disabilities; Housing Accessibility; and Disability Rights in Federally Assisted Housing
 - 24 CFR Part 8 and 9
- Housing Accommodations
 - 24 CFR 100.204
- Violence Against Women
 - 24 CFR 92.359

C. Housing and Labor Standards

All projects are required to adhere to federal standards related to the below regulations. Please see the associated CFR.

- Section 3
 - 24 CFR 135
- Radon
 - 24 CFR 50.3 (i) and 58.5 (i)(2)
- Environmental Reviews
 - 24 CFR 50 and 58

- Minority and Women-Owned Businesses
 - 2 CFR 200.321
- Uniform Relocation Assistance and Displacement
 - 24 CFR 4

Section 8: Reporting and Monitoring

A. Reporting

All ESG-funded projects will be required to participate in statewide data collection efforts by the OHS. The OHS will provide report templates for any data not reported through HMIS with sufficient notice of the information or data required.

Performance data will be evaluated by the OHS no less than quarterly and once annually. Additionally, each quarter the OHS presents performance data to the Utah Homelessness Council.

B. Project Monitoring and Technical Assistance

Technical Assistance (TA): TA will be performed on all ESG projects no less than twice per fiscal year. Additional TA may be required on a case-by-case basis. ESG subrecipients must participate in reasonable TA activities provided by the OHS staff or its designees. Failure to respond to an email and other correspondence (i.e., WebGrants communication, phone calls, emails, texts, Movelt communication) from the OHS and its designees within 10 business days, without reasonable cause, will be referred for a contract review. A contract review may result in probation or termination of the contract. For more information regarding TA procedures carried out by the OHS, contact ohsprograms@utah.gov for access to the OHS' Federal Monitoring policy.

Monitoring: The OHS has the right to monitor the subrecipient's performance. Monitoring of the subrecipient's performance will be at the complete discretion of the OHS which will include but is not limited to the subrecipient's fiscal operations, terms, conditions, attachments, the scope of work, and performance requirements of their contract. Monitorings are done to ensure the agreement is used for authorized purposes and that the project is achieving performance measures outlined in a subrecipient's contract. Additionally, monitoring activities done by the OHS confirm if an agency is in compliance with federal statutes and regulations.

Monitoring may be conducted via an announced or unannounced site visit, desk audit, third-party monitoring, expenditure document review, or video/phone conferencing. Any onsite monitoring will take place during normal business hours.

If it is discovered that the subrecipient is in default (not in compliance with the contract), the subrecipient may be subject to sanctions which may include warnings, audits, temporary suspension of payments, termination, demand for the return of funds, and or suspension/debarment from participation in future OHS grants and contracts. A default may also result in the cancellation of other contracts between the subrecipient and the OHS.

ESG subrecipients should also be aware that the OHS may conduct customer satisfaction surveys. Furthermore, through a subrecipient's contract, the subrecipient agrees to cooperate with all OHS-initiated customer feedback. For more information regarding federal monitoring procedures carried out by the OHS, contact ohsprograms@utah.gov for access to the OHS' Federal Monitoring policy.

References

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Appendix A

Frequently Asked Questions

The purpose of this Appendix is to provide ESG subrecipients with a list of frequently asked questions submitted to the HUD. If your question still stands after reviewing this document, please contact the OHS Program Specialist for your contract.

U.S. Department of Housing and Urban Development ESG FAQs:
https://www.hud.gov/program_offices/comm_planning/esg/faqs

Appendix B

Ineligible Costs

The purpose of this Appendix is to provide ESG subrecipients with a list of ineligible costs. This is not an exhaustive list. For further clarifications and list of ineligible expenses, please see 24 CFR 576 and 2 CFR 200. If you still have questions after reviewing this document, please contact the OHS Program Specialist for your contract.

- Direct cash assistance to program participants;
- Gift cards of any kind;
- Costs that were incurred outside of the contract period;
- More than two months of a security deposit;
- Costs related to mortgages;
- Eviction costs;
- Construction or rehabilitation of buildings;
- Credit card bills or another consumer debt;
- Extensive car repairs for participant households (beyond the eligible \$1,200 in repairs/maintenance);
- Car payments for participants;
- Home care and home health aides are typically used to provide care in support of daily living activities (Note: This includes care that is focused on treatment for an injury or illness, rehabilitation, or other assistance generally required to assist those with handicaps or other physical limitations.);
- Food, water, and beverages including food provided at staff and other meetings or trainings (Note: This excludes food, water, and beverages kept as a qualified emergency supply);
- Appliances and food, water, or other items purchased for staff use (i.e., refrigerators, water dispensers, coffee makers, microwave ovens, ovens, etc.);
- Pet care, including additional deposit for pet;
- Entertainment activities;
- Petty cash for program staff;
- Legal services for immigration and citizenship matters;
- Retainer fee arrangements and contingency fee arrangements;
- Inpatient detoxification and other inpatient drug or alcohol treatment;
- Transportation costs for participants (e.g., bus, train);
- Payment of temporary storage fees in arrears;
- Property damages incurred by a program participant;
- Credit repair that is associated with the payment or modification of a debt;
- Furniture and other household goods;
- Late fees or late payment penalties;
- Storage fees;
- Parking fees;
- Entertainment package fees;
- Insurance fees;

Appendix C

Form Templates

The purpose of this Appendix is to provide ESG subrecipients templates of common forms used to be compliant with ESG regulations and requirements. If you need additional guidance on navigating these forms or need access to a template not listed here, please contact the OHS Program Specialist for your contract.

Document	Resource Link
Asset Worksheet	See Appendix D
Conflict of Interest Form	See Appendix E
Domestic Violence Form	See Appendix F
Inspection Checklist	https://www.hud.gov/sites/dfiles/OCHCO/documents/52580.PDF
Rental Assistance Agreement	See Appendix G
Literally Homeless Self-Certification (RRH)	See Appendix H
Literally Homeless Certification (RRH)	See Appendix I
Homeless Certification (combined with domestic violence form)	See Appendix J
Household Composition Form	https://www.hud.gov/sites/documents/93101.PDF
Income Certification	https://www.hud.gov/sites/documents/93101.PDF
Lead-Based Paint Form	See Appendix K
Housing Stability Plan	See Appendix L
Housing/Unit Eligibility Form	See Appendix M
Certification of Zero Income	See Appendix N

Appendix D

Asset Worksheet

Asset Worksheet

Instructions: Please complete if household currently has assets. Include assets for all household members. Amounts listed in worksheet should match attached supporting documentation.

Head of Household: _____

Assets Include:

- Current amounts in saving accounts and the average balance for the last six months for checking accounts. Also include cash held at home or in a safe deposit box.
- Cash value of revocable trust. A revocable trust can be changed by the grantor at any time and is therefore counted as an asset.
- Equity in real property or other capital investments. Equity is the estimated current market value of the asset less than the unpaid balance on all loans secured by the asset and reasonable costs (such as broker fees) that would be incurred in selling the asset.
- Stocks, bonds, savings certificates, money market funds and other investment accounts.
- IRA, Keogh and similar retirement savings accounts, even though the withdrawal would result in a penalty.
- Some contributions to company retirement/pension funds. Include contributions while an individual is employed; count only the amount the family can withdraw without retiring or terminating employment. After retirement or terminating, count as an asset any amount the employee elects to receive as a lump sum.
- Surrender value of whole life or universal insurance policy.
- Personal property held as an investment (such as gems, jewelry, coin collections, antiques, etc.).
- Lump sum receipts such as inheritances, lottery winnings, capital gains, insurance settlements and other lump sum amounts.
- Assets disposed of for less than fair market value during the two years preceding certification or re-certification. The amount counted as an asset is the difference between the fair value and the amount actually received.
- Assets, which although owned by more than one person, allow unrestricted access by the applicant.

Asset Type	Total Value	Fees or Penalties	Cash Value (Total Value - penalties)	Interest Rate	Actual Asset Income (Cash Value X Interest Rate)
TOTALS				N/A	

Imputed Value = Cash Value X _____ % =
(passbook rate)

USE IMPUTED IF TOTAL CASH VALUE IS
OVER \$5000 AND GREATER THAN ACTUAL
ASSET INCOME

OR

Total Actual Asset Income =

USE ACTUAL IF TOTAL CASH VALUE IS
UNDER \$5000 OR GREATER THAN IMPUTED
VALUE

Staff Signature: _____ Date: _____

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Appendix E

Conflict of Interest

Conflict of Interest

Instructions: Please complete this form to the best of your knowledge.

Head of Household Name: _____ Client Id: _____
Landlord: _____ Unit Address: _____

By signing this Agreement, the Landlord verifies that the Landlord and/or its agent executing this Agreement on the Landlord's behalf, is not related to or affiliated with any staff or board member of _____. The Landlord verifies that it does not have any conflicts of interest with _____ or its affiliated entities. The Landlord verifies that they do not have a prior or current relationship with the Participant.

Landlord Printed Name: _____	Date: _____
Landlord Signature: _____	
Staff Printed Name: _____	Date: _____
Staff Signature: _____	

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Appendix F

Domestic Violence Certification

Domestic Violence Certification

Instructions: Please complete if you are a third party OR self-verifying an experience of domestic violence.

Participant Name: _____

Goal of Form:

The goal of the category Families Fleeing Domestic Violence is to ensure safety for all participants assisted through the _____ Program. A participant household experiencing domestic violence receives special consideration in _____ with regard to supportive services. This is a consideration designed for participants fleeing a domestic violence situation midstream during their _____ participation such that the original participant household breaks apart. Under this policy, the victim of domestic violence, if forming a new participant household, will have the "rolling period" for _____'s temporary financial assistance reset back to the beginning. The "rolling period" refers to the limited timeline of months for paying temporary financial assistance within a 12-month or 2-year period. For these newly formed households, that timeline begins again at zero months. Furthermore, any household fleeing a domestic violence situation is considered literally homeless and enrolled as a Rapid re-housing household.

When certifying the situation that the household is facing, it is important for _____ providers to ensure safety of the affected family at all times. Note that this form only requires third party verification (e.g. statement from a social worker, police report, legal service provider), in cases where performing this due diligence does not jeopardize the safety of household members. If third party verification is not available, it is acceptable for participants to provide a self-certification as to their circumstances.

Please check the below box if you acknowledge that:

- ☐ I am in a household that is currently enrolled in the _____ program and I am fleeing a domestic violence situation I have attached third party verification attesting to my situation OR have completed the certification below signed by a third party with knowledge of my current circumstances.

Check only one:

Third Party Verification

- ☐ I certify that I have direct knowledge of the situation above named household member is facing and can attest to the fact that this person/household is fleeing a domestic violence situation.

****Please fill out the below sections if selecting third party verification****

Agency/Program Name: _____

Relationship to Participant: _____

Authorized Representative Printed Name: _____

--	--

Authorized Representative Signature

Date

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Appendix F Continued

Domestic Violence Certification

Self Verification

- ☐ I am in a household that is currently enrolled in the _____ program and I am fleeing a domestic violence situation. As my safety would be jeopardized by gathering third party documentation, I am self-certifying to the fact that I am fleeing a domestic violence situation.

Please sign and date below to certify that the information above and any other information you provided to the _____ program is true, accurate, and complete

Participant Signature	Date
-----------------------	------

____ Staff Certification

Please check the below box to acknowledge that:

- ☐ I understand that third-party verification is the preferred method when certifying that the participant is fleeing a domestic violence situation. Due to the high risk nature of the situation, due diligence to gather third-party documentation was completed only to the extent that it did not jeopardize the safety of the household member(s).

Staff Signature: _____ Date: _____

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Appendix G

Rental Assistance Agreement

Rental Assistance Agreement

Instructions: This form outlines the terms under which _____ provides assistance. Landlords should review and complete for each participant and unit. This Rental Assistance Contract is entered into between _____ and the Landlord identified below. This Agreement applies only to the household and the dwelling unit listed below.

Head of Household Name: _____ Client Id: _____
Landlord: _____ Unit Address: _____
Total Rent: _____ Agency Portion: _____ Participant Portion: _____

Term

This Agreement begins on the same date as the Lease between Landlord and Participant. The Agreement automatically terminates upon any of the following conditions:

1. Participant moves out of the unit;
2. Lease terminates and is not renewed;
3. _____ determines the Participant is not eligible to receive ongoing assistance; or
4. If enrolled in rapid re-housing, the Participant reaches 24 months in the program.

Participation Requirements

The Participant must have a legally binding written lease with the Landlord for the unit listed above for _____ to make rental assistance payments on the Participant's behalf. Leases must be at least one year, unless the Landlord and Participant mutually agree to a shorter period. Rent must be within Fair Market Limits (FMR) for the Emergency Solutions Grants (ESG) program and determined to meet rent reasonableness standards. Rent for all other programs must be determined to meet rent reasonableness standards only.

Unit Habitability

The unit listed above must remain in compliance with Housing Quality Standards outlined at 24 CFR 982.401 and 24 CFR 576.403(c). _____ will conduct initial and annual inspections to ensure that the unit complies with the standards outlined above.

Notices

The Landlord agrees to provide _____ a copy of any notice provided to the Participant and/or any complaint used under state or local law to commence an eviction action. Notices should be emailed to _____.

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Appendix G Continued

Rental Assistance Agreement

Payments

_____ agrees to make timely payments per the requirements of the lease, including the payment due date, grace period, and late payment penalty requirements, while the Participant is eligible for assistance. All penalty fees are made with non-public funds. _____ is not responsible for any defaults of the Participant or any penalty fees resulting from said Participant default.

Violence Against Women Act (VOWA)

The Landlord may not consider incidents of domestic violence, dating violence, sexual assault, or stalking as serious or repeated violations of the lease or other "good cause" for termination of assistance, tenancy, or occupancy rights of the victim of abuse.

The Landlord may not consider criminal activity directly relating to abuse, engaged in by a member of the Participant's household or any guest or other person under the Participant's control, cause for termination of assistance, tenancy, or occupancy rights if the Participant or an immediate member of the Participant's family is the victim or threatened victim of that abuse. The Landlord may request in writing that the victim, or a family member on the victim's behalf, certify that the individual is a victim of abuse and that the Certification of Domestic Violence, Dating Violence, Sexual Assault, or Stalking Form or other documentation as noted be completed and submitted within 14 business days, or an agreed upon extension date, to receive protection under the VAWA. Failure to provide the certification or other supporting documentation within the specified timeframe may result in eviction.

Nothing in this Agreement limits the Landlord's ability to proceed with eviction or other actions not directly related to the Participant's status as a victim of domestic violence, dating violence, sexual assault, or stalking.

Conflict of Interest

By signing this Agreement, the Landlord verifies that the Landlord and/or its agent executing this Agreement on Landlord's behalf, is not related to or affiliated with any staff or board member of _____. The Landlord verifies that it does not have any conflicts of interest with _____ or its affiliated entities. The Landlord verifies that they do not have a prior or current relationship with the Participant.

Prohibited Lease Terms

Any provisions of the lease which fall within the classifications below shall not apply and not be enforced by the Landlord during the time in which the Participant is receiving assistance from _____:

- Consent by the Participant to be sued, to admit guilt, or to a judgment in favor of the Landlord in a lawsuit brought in connection with the Lease;

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Appendix G Continued

Rental Assistance Agreement

- Agreement by the Participant that the Landlord may take or hold the Participant's property, or may sell such property without notice to the Participant and a court decision on the rights of the parties;
- Agreement by the Participant not to hold the Landlord or Landlord's agent legally responsible for any action or failure to act, whether intentional or negligent;
- Agreement by the Participant to that the Landlord may institute a lawsuit without notice to the Participant;
- Agreement by the Participant that the Landlord may evict the Participant family without instituting a civil court proceedings in which the Participant has the opportunity to present a defense or before a decision by the court on the rights of the parties;
- Authorization to the Landlord to waive the Participant's right to a trial by jury;
- Authorization to the Landlord to waive the Participant's right to appeal a court decision or waive the Participant's right to sue to prevent a judgment from being put into effect; and
- Agreement by the Participant to pay lawyer's fees or other legal costs whenever the Landlord decides to sue, whether or not the Participant wins.


Landlord Printed Name: _____	Date: _____
Landlord Signature: _____	
Staff Printed Name: _____	Date: _____
Staff Signature: _____	

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Appendix H

Literally Homeless Self-Certification (RRH)

Literally Homeless Self-Certification	
This form is to be used only for Rapid Rehousing	
<i>Instructions: Complete this self-certification if third party documentation (i.e., written or oral verification) cannot be obtained from an appropriate third party. Applicants may self-certify their current "literally homeless" status per one of the categories below and as defined in the program guide. Staff should review this form with applicants and assist in completing, as needed. Applicants must sign and date this form.</i>	
Participant Name: _____	
I certify that (check one only)	
<input type="checkbox"/>	I (we) am living in a car, park, abandoned building, bus/train station, airport, camping group, or other place not designed for or ordinarily used as a regular sleeping accommodation, or am fleeing or attempting to flee a domestic violence situation. Description of you are staying: _____ _____
<input type="checkbox"/>	I (we) am staying in an emergency shelter OR a transitional housing program for people who are homeless OR a hotel or motel that is paid for by a charity or government program. Name of Shelter, Transitional Housing or Hotel/Motel: _____ Location of Shelter, Transitional Housing or Hotel/Motel: _____ Name of Charity/Program Paying for Hotel or Motel (if applicable): _____
<input type="checkbox"/>	Is exiting an institution where I have been staying for 90 days or less AND I stayed in an emergency shelter OR a place not designed for or ordinarily used as a regular sleeping accommodation immediately prior to entering that institution Name of Institution: _____ Location of Institution: _____ Date of Admission to Institution: _____ Description of Unsheltered Location: _____ Shelter Location: _____ Shelter Location: _____
Staff Signature: _____ Date: _____	
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Appendix I

Literally Homeless Certification (RRH)

Literally Homeless Certification			
This form is to be used only for Rapid Rehousing			
<i>Instructions: This form is to certify, via a third party, that the below named applicant is currently "literally homeless" as defined in the _____ program guide's description of eligibility for _____ Rapid Re-housing. The third party completing this form must check one box below, provide a description, and sign and date this form.</i>			
Participant Name: _____			
I certify that the person named above and any household members with that person (check only one):			
<input type="checkbox"/> Is living in a car, living in a car, park, abandoned building, bus/train station, airport, camping ground, or other place not designed for or ordinarily used as a regular sleeping accommodation, or am fleeing or attempting to flee a domestic violence situation.			
Description of where applicant is staying: _____			
Agency/Program Name: _____			
Authorized Agency Representative Printed Name: _____			
<table border="1"><tr><td>Authorized Agency Representative Signature</td><td>Date</td></tr></table>		Authorized Agency Representative Signature	Date
Authorized Agency Representative Signature	Date		
<hr/>			
<input type="checkbox"/> Is staying in an emergency shelter OR a transitional housing program for people who are homeless (coming from streets or shelter) OR a hotel or motel that is paid for by a charity or government program.			
Name of Shelter, Transitional Housing or Hotel/Motel: _____			
Location of Shelter, Transitional Housing or Hotel/Motel: _____			
Name of Charity/Program Paying for Hotel or Motel (if applicable): _____			
<table border="1"><tr><td>Authorized Agency Representative Signature</td><td>Date</td></tr></table>		Authorized Agency Representative Signature	Date
Authorized Agency Representative Signature	Date		
<hr/>			
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Appendix I Continued

Literally Homeless Certification (RRH)

- ☐ Is exiting an institution where they have been staying for 90 days or less AND they stayed in an emergency shelter OR a place not designed for or ordinarily used as a regular sleeping accommodation immediately prior to entering that institution

Name of Institution: _____

Location of Institution: _____

Date of Admission to Institution: _____

Description of Unsheltered Location: _____

Shelter Location: _____

Location: _____

Staff Signature: _____ Date: _____

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Appendix J

Homeless Certification with Domestic Violence Form Included

Homeless Certification

Head of Household Name: _____ Client Id: _____
Household Size: _____

Select only one living situation and complete only that section.

Living Situation: Place not meant for human habitation (e.g., cars, parks, abandoned buildings, streets/sidewalks).

- ☐ The person(s) named above is/are currently living in (or, if currently in hospital or other institution, was living in immediately prior to hospital/institution admission) a public or private place not designed for, or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus station, airport, or campground.

Description of current living situation: _____

Homeless Street Outreach Program Name: _____

This certifying agency must be recognized by the local Continuum of Care (CoC) as an agency that has a program designed to serve persons living on the street or other places not meant for human habitation. Examples may be street outreach workers, day shelters, etc.

Authorized Agency Representative Signature: _____ Date: _____

Living Situation: Emergency Shelter/Domestic Violence Shelter

- ☐ The person(s) named above is/are currently living in a supervised publicly or privately operated shelter as follows:

Emergency Shelter/Domestic Violence Shelter Program Name: _____

This emergency/domestic violence shelter must appear on the CoC's Housing Inventory Chart submitted as part of the most recent CoC Homeless Assistance application to HUD or otherwise be recognized by the CoC as part of the CoC inventory (e.g. newly established Emergency Shelter).

Authorized Agency Representative Signature: _____ Date: _____

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Appendix J Continued

Homeless Certification with Domestic Violence Form Included

Living Situation: Institutional Setting

- ☐ The person(s) named above is/are currently living in an institution, has been residing in it for no more than 90 days (or no more than 120 days while the COVID-19 program waivers are valid) and was residing in a homeless location immediately prior to entering the institution.

Institution Name: _____

- ☐ Hospital
☐ Psychiatric Facility
☐ Fostercare
☐ Substance Abuse Treatment Facility
☐ Jail/Prison

Immediately prior to entering the institution, the person(s) named above was/were residing in:

- ☐ Emergency Shelter
☐ A place unfit for human habitation

Authorized Agency Representative Signature: _____ Date: _____

Living Situation: GPD/Permanent Housing

- ☐ The person(s) named above is/are currently living in a permanent housing program or GPD for persons who are formerly homeless.

Permanent Housing/GPD Program Name: _____
This GPD/permanent housing program must appear on the CoC's Housing Inventory Chart submitted as part of the most recent CoC Homeless Assistance application to HUD or otherwise be recognized by the CoC as part of the CoC inventory.

Immediately prior to entering GPD/permanent housing program, the person(s) named above was/were residing in:

- ☐ Emergency shelter or
☐ A place unfit for human habitation

Authorized Agency Representative Signature: _____ Date: _____

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Appendix K

Lead-Based Paint Disclosure

Lead-Based Paint Disclosure	
<i>Instructions: Housing built before 1978 may contain lead-based paint. Lead from paint, paint chips, and dust can pose health hazards if not managed properly. Lead exposure is especially harmful to young children and pregnant women. Before renting pre-1978 housing, landlords must disclose the presence of known lead-based paint and/or lead-based paint hazards in the dwelling. Participants must receive a federally approved pamphlet on lead poisoning prevention.</i>	
Head of Household Name: _____ Client ID: _____	
Landlord: _____ Unit Address: _____	
Landlord Disclosure	
1. Presence of lead-based paint and/or lead-based paint hazards (select one):	
<input type="checkbox"/> Known lead-based paint and/or lead-based paint hazards are present in the housing (explain): _____	
OR	
<input type="checkbox"/> Landlord has no knowledge of lead-based paint and/or lead-based paint hazards in the housing.	
2. Records and reports available to the landlord (check (i) or (ii) below):	
i. Landlord has provided the participant with all available records and reports pertaining to lead-based paint and/or lead-based paint hazards in the housing (list documents below): _____	
OR	
ii. Landlord has no reports or records pertaining to lead-based paint and/or lead-based paint hazards in the housing.	
Landlord Printed Name: _____ Date: _____	
Landlord Signature: _____	
<div><p>_____ has informed the landlord of the landlord's obligations under 42 U.S.C. 4852(d) and is aware of their responsibility to ensure compliance.</p><p>Staff Signature: _____ Date: _____</p></div>	

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Appendix L

Housing Stability Plan

Housing Stability Plan

It is the policy of the State of Utah to support a Housing First model in the approach to addressing and ending homelessness. Housing First establishes housing stability as the primary intervention in working with people experiencing homelessness.

Introduction

Any Housing Stability Plan should have the following key characteristics:

1. The ultimate goal is to obtain and/or retain permanent housing.
2. If the household is living in a situation that jeopardizes their safety, such as on the streets, the initial Plan must focus on immediate resolution of the crisis.
3. If the household is at imminent risk of losing housing that they can and should keep, the initial Plan must focus on preserving that housing.
4. Intermediate goals are designed to achieve milestones that are necessary to obtain or retain permanent housing.
5. Program participants have input and final decision for all goals, actions steps and timelines.
6. Action steps to achieve goals are clear, simple-to-understand, measurable, and can be accomplished within a relatively short period of time.
7. Case manager and/or participant responsibility is designated for each action step.
8. A target date is set for completion (or review) of the steps and the overall Plan.


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Appendix L Continued

Housing Stability Plan

Reasonable Plan		
Participant Name: _____		Date: _____
Case Manager Name: _____		
Purpose of this plan; please select one:		
<input type="checkbox"/> Crisis Plan to Assure Safety	<input type="checkbox"/> Prevention of Homelessness	
<input type="checkbox"/> Rapid Re-Housing	<input type="checkbox"/> Follow-up Plan for Longer-Term Housing Stability	
Goals:		
Action Steps	Person Responsible	Target Date for Completion/Review
Next Review and Plan Update (Date/Place):		
Participant Signature: _____		
Staff Signature: _____ Date: _____		

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Appendix M

Housing/Unit Eligibility Form

Unit Eligibility

Head of Household Name: _____ Client Id _____
 Approved Beds: _____
 Address, City, Zip Code: _____ Unit Number: _____
 Property Name: _____ Landlord/Agent Name: _____
 Deposit Amount: _____ Prorate Amount: _____ Rent Amount: _____ Participant Portion: _____

Fair Market Rent by Unit Bedrooms					
Utilities Included	Studio	1 Bed	2 Bed	3 Bed	4 Bed
Single Family Home/Mobile Home					
W/S/T					
None					
Semi-Detached Duplex/Triplex/Fourplex					
W/S/T					
None					
High-Rise Low-Rise Row-House Townhouse					
W/S/T					
None					

Rental Move-in or Renewal

- | | |
|---|--|
| <input type="checkbox"/> HQS Inspection | <input type="checkbox"/> Rental Assistance Agreement |
| <input type="checkbox"/> Photos | <input type="checkbox"/> Breakdown of Expenses |
| <input type="checkbox"/> Affordable Housing Checklist | <input type="checkbox"/> W-9 |
| <input type="checkbox"/> Lead-Based Paint Disclosure | <input type="checkbox"/> ACH to Accounting |
| <input type="checkbox"/> Rent Reasonableness | <input type="checkbox"/> City Business or License |
| <input type="checkbox"/> _____ County Assessor | <input type="checkbox"/> Not Required by City |

Leasing

- | | |
|---|--|
| <input type="checkbox"/> Master Lease | <input type="checkbox"/> _____ County Assessor |
| <input type="checkbox"/> Occupancy Agreement | <input type="checkbox"/> Rental Assistance Agreement |
| <input type="checkbox"/> HQS Inspection | <input type="checkbox"/> Breakdown of Expenses |
| <input type="checkbox"/> Photos | <input type="checkbox"/> W-9 |
| <input type="checkbox"/> Affordable Housing Checklist | <input type="checkbox"/> ACH to Accounting |
| <input type="checkbox"/> Lead-Based Paint Disclosure | <input type="checkbox"/> City Business License |
| <input type="checkbox"/> Rent Reasonableness | <input type="checkbox"/> Not Required by City |

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Appendix M Continued

Housing/Unit Eligibility Form

I certify I certify that the above unit meets program eligibility requirements. To the best of my knowledge and ability, all of the information used in making this eligibility determination is true and complete. I am not related to the housing provider through family, business, or other personal ties. To the best of my knowledge and ability, neither I nor anyone related to me has received or will receive any financial benefit for this eligibility determination. I understand that fraud is investigated by the VA, HUD, and the OIG. I understand that if any of the certifications are found to be false, I will be subject to criminal, civil, and administrative penalties and sanctions.

Staff Printed Name: _____ Date: _____
Staff Signature: _____

Supervisor Printed Name: _____ Date: _____
Supervisor Signature: _____

Remaining Checklist Items:

- ☐ Lease received On: _____
- ☐ Head of household signature received
- ☐ Leased signed on or after approval date
- ☐ Lease is 12 months old
- ☐ Lease is signed by both parties
- ☐ Utilities match rent reasonableness—if no, do new rent reasonableness based on utilities in lease


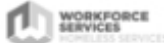
Lease Reviewer Printed Name: _____ Date: _____
Lease Reviewer Signature: _____

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Appendix N

Certification of Zero Income

Certification of Zero Income	
Head of Household Name: _____	Client ID: _____
<p>Within the next 12 months, will you receive income from any of the following sources?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Wages, bonus, commissions, tips, etc.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Self-employment (includes Uber/Lyft, online sales, etc.)</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Unemployment Benefits</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Annuities, insurance policies, stocks, etc.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Worker's Compensation</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Pensions, IRA, 401K</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Disability Payments</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Income from rental property</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Alimony</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Death Benefits</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Child Support</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Interest/dividends from assets, including bank accounts</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Social Security</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Direct Sales Consulting such as Mary Kay, Tupperware, Pampered Chef, etc.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Help with paying bills or other expenses or regular gifts of money from family or friends who don't live with you (including online donations such as GoFundMe or through a local bank) Work for cash (babysitting, lawncare, etc.)</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Any other source/Anticipated income (if yes, explain): _____</p>	
<p>Mark the ONE statement that applies to you:</p> <p><input type="checkbox"/> I do not expect to have any source of income in the next 12 months</p> <p><input type="checkbox"/> I have been hired for a new job or I will be receiving another source of income soon. I will give you more information for verification purposes.</p>	
<p>If you have checked "No" for each source of income in Section A and you do not expect to have any source of income in the next 12 months, explain how you will pay for the following):</p> <p><i>Write "NA" if the cost does not apply to you or your household.</i></p> <p>Rent (including garage rent, if applicable): _____</p> <p>Utilities: _____</p> <p>Food: _____</p> <p>Clothing: _____</p> <p>School Supplies: _____</p> <p>Cell Phone or Phone: _____</p> <p>Medical Care: _____</p> <p>Medications/Prescriptions: _____</p> <p>Personal Care Products (i.e., shampoo, toothpaste): _____</p>	
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Appendix N Continued

Certification of Zero Income

Vehicle Expenses: _____
Payments of Credit Card Balances: _____
Other Expenses not Listed Above: _____

Additional Comments: _____

Under penalty of perjury, I certify that the information presented in this certification is true and accurate to the best of my knowledge. I further understand that providing false representations constitutes an act of fraud. False, misleading, or incomplete information may result in the termination of my lease agreement. I understand that I may be required to periodically update this information as requested by the owner/agent.

Printed Name of Applicant/Tenant: _____ Date: _____
Signature of Applicant/Tenant: _____

Staff Signature: _____ Date: _____

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State of Utah
Olene Walker Housing Loan Fund (OWHLF)
HOME Investment Partnerships Program
Resale/Recapture Policy for Homebuyer Activities

Introduction

Participating Jurisdictions (PJs) undertaking HOME-assisted homebuyer activities, including any projects funded with HOME Program Income (PI), must establish written resale and/or recapture provisions that comply with HOME statutory and regulatory requirements. These provisions must also be set forth in the PJ's Consolidated Plan. The written resale and/or recapture provisions that a PJ submits in its annual Action Plan must clearly describe the terms of the resale and/or recapture provisions, the specific circumstances under which these provisions will be used (if more than one set of provisions is described), and how the PJ will enforce the provisions for HOME-funded ownership projects. HUD reviews and approves the provisions as part of the annual Action Plan process.

Section 215 of the HOME statute establishes specific requirements that all HOME-assisted homebuyer housing must meet in order to qualify as affordable housing. Specifically, all HOME-assisted homebuyer housing must have an initial purchase price that does not exceed 95 percent of the median purchase price for the area, be the principal residence of an owner whose family qualifies as low-income at the time of purchase, and be subject to the following provisions:

1. **Resale:** The owner that received HOME assistance must sell the home at an affordable price to a low-income family that will use the property as their principal residence, provide the homeowner with a fair return on investment, including any improvements, and ensure that the housing will remain affordable to a reasonable range of low-income homebuyers. **or**
2. **Recapture:** The owner is permitted to sell the property to any willing buyer at any price, but OWHLF must recapture all of the direct HOME subsidy that was initially provided to the homebuyer.

According to 24 CFR 92.254, *Qualification as Affordable Housing: Homeownership*, in order for homeownership housing to qualify as affordable housing, it must:

- Be single-family, modest housing,
- Be acquired by a low-income family as its principal residence, and
- Meet affordability requirements for a specific period of time as determined by the amount of assistance provided.

Purpose

The purpose of this section is to provide the “resale” and “recapture” policies of the State of Utah, Olene Walker Housing Loan Fund (OWHLF), hereinafter referred to as “OWHLF”. As stated above, HOME requires that PJs utilize resale and/or recapture provisions to ensure continued affordability for low- to moderate-income homeowners.

OWHLF has one program that uses HOME funds to assist homebuyers:

1. Homeowner – New construction of a Mutual Self-Help home, which is a direct subsidy to the homeowner. Only the Recapture Provision will be used for Mutual Self-Help homes.

RECAPTURE PROVISIONS:

OWHLF uses recapture provisions when HOME funds are provided to a homebuyer in the form of a direct HOME subsidy.

Under the recapture provisions (established at §92.254(a)(5)(ii)), if a HOME-assisted unit is sold during the period of affordability, the owner is permitted to sell the property to any willing buyer at any price, and OWHLF will recapture all of the *direct* HOME subsidy that was initially provided to the original homebuyer from the available *net proceeds* of the sale.

Direct HOME subsidy is the amount of HOME assistance, *including any program income*, that enabled the homebuyer to buy the unit. The direct subsidy includes downpayment, closing costs, interest subsidies, or other HOME assistance provided directly to the homebuyer. In addition, direct subsidy includes any assistance that reduced the purchase price from fair market value to an affordable price. If HOME funds are used for the cost of developing a property and the unit is sold below fair market value, the difference between the fair market value and the purchase price is considered to be directly attributable to the HOME subsidy.

Net proceeds are defined as the sales price minus superior loan repayment (other than HOME funds) and any closing costs. Under no circumstances can the PJ recapture more than is available from the net proceeds of the sale.

I. Forms of HOME subsidy

- A. Direct HOME subsidy to homeowner
OWHLF will provide direct HOME subsidy to assist with the new construction of a Mutual Self-Help home. The subsidy will be used to make the loan more affordable to the qualified homebuyer

II. Period of Affordability:

A. Minimum Period

The recapture of HOME funds will be in effect for the period of affordability as described by the HOME Program regulations at 24 CFR 92.254(a)(4):

HOME Investment (direct HOME subsidy)	The period of affordability is:
Under \$15,000	5 years
Between \$15,000 and \$40,000	10 years
Over \$40,000	15 years

The repayment of the HOME loan does not terminate this affordability period. The period remains in effect for the affordability timeframe.

- B. Insurance** - all homebuyers must carry adequate property insurance, naming OWHLF as an interested party and beneficiary during the period of affordability, and including OWHLF in all correspondence.
- C. Property Taxes** - all homebuyers must be current on their property taxes.
- D. Monitoring** - during the minimum period of affordability, OWHLF shall monitor compliance with the Requirements set forth in Paragraph II(B) and (C) above. OWHLF shall review the annual renewal of property insurance policy and property tax statement to ascertain as to whether the property continues to be the principal place of residence of the homebuyer.

III. Recapture Approach:

OWHLF will recapture the HOME program assistance provided subject to the following:

A. Unit Sale Price

Homeowners of HOME-assisted units will be permitted to sell their units during the affordability period at any time, to any willing buyer, and at the price, the market will bear.

B. Amount to Recapture

Direct HOME Subsidy is the amount of HOME assistance, including any program income that enabled the homebuyer to buy the unit. OWHLF shall recoup the full amount of direct HOME subsidy provided to the assisted homeowner based on the net proceeds available.

C. Net Proceeds

Net proceeds shall be limited to the sale price of the unit less the balance of the first loan (ahead of the OWHLF mortgage) and any closing costs. This will apply to all units assisted and whether the sale of the unit is voluntary or involuntary.

1. Sufficient Net Proceeds

The amount of recapture shall be the total amount of the direct HOME subsidy provided by OWHLF to the homeowner to acquire the unit.

2. Surplus Net Proceeds

After subsidy recapture, any net proceeds remaining shall be the property of the homeowner selling the property.

3. Insufficient Net Proceeds

In the case where the Net Proceeds are insufficient to recapture the amount of subsidy provided to the homebuyer, the amount of recapture shall be limited to the amount of available net proceeds. Under no circumstances will OWHLF recapture more than what is available from the net proceeds of a sale.

D. Mortgage Satisfaction

After OWHLF recaptures the direct HOME subsidy provided, OWHLF shall satisfy the mortgage recorded and release the assisted homeowner from any further obligation to the program and OWHLF.

E. Proceeds of Recaptured Funding

Any recaptured direct HOME subsidy will be used to fund eligible activities under the HOME Program.

F. Enforcement

OWHLF will require that a mortgage be placed on the property in its favor for the full amount of the direct HOME subsidy. The recapture provisions will be enforced through a separate agreement with the homebuyer that details the applicable HOME requirements and through a recorded Trust Deed and Trust Deed Note.

RESALE PROVISIONS:

OWHLF only provides direct HOME assistance to homebuyers; it does not provide HOME assistance that writes down the development cost of a housing unit. The Resale Provision is not being used for the new construction of a Mutual Self-Help home.

HOME-ARP

HOME-ARP Allocation Plan Template

Participating Jurisdiction: State of Utah

Date: 03/28/2022

Introduction

The Utah Department of Workforce Services' (DWS) Office of Homeless Services (OHS) has been charged with allocating and administering \$12,978,715 awarded by The U.S. Department of Housing and Urban Development (HUD) through the HOME Investment Partnerships American Rescue Plan Program (HOME-ARP). This funding is for addressing homelessness and housing instability throughout Utah and can only be used to serve individuals that meet one of the following definitions, defined as "Qualifying Populations" in the HUD funding notice:

- Homeless, as defined in section 103(a) of the McKinney-Vento Homeless Assistance Act ([42 U.S.C. 11302\(a\)](#));
- At-risk of homelessness, as defined in section 401(1) of the McKinney-Vento Homeless Assistance Act ([42 U.S.C. 11360\(1\)](#));
- Fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, stalking, or human trafficking, as defined by the Secretary;
- In other populations where providing supportive services or assistance under section 212(a) of the Act ([42 U.S.C. 12742\(a\)](#)) would prevent the family's homelessness or would serve those with the greatest risk of housing instability;
- Veterans and families that include a veteran family member that meet one of the preceding criteria.

Activities that can be undertaken with the funding can only be one of the following:

- Produce or preserve affordable housing;
- Provide Tenant-Based Rental Assistance (TBRA);
- Provide supportive services, including services defined at [24 CFR 578.53\(e\)](#), homeless prevention services, and housing counseling;
- Purchase and develop non-congregate shelter. These structures can remain in use as non-congregate shelter or can be converted to: 1) emergency shelter under the [Emergency Solutions Grants \(ESG\) Program](#); 2) permanent housing under the [Continuum of Care \(CoC\) Program](#); or 3) affordable housing under the [HOME Program](#).

After receiving notice of the funding award, OHS began performing an analysis on the need for these activities in Utah by utilizing data on homelessness and housing affordability available at the state and local level, consulting with local homeless councils, service providers, and other partners. After conducting this process, OHS has developed the following allocation plan proposal for HUD to review. This plan is designed to ensure that HOME-ARP funding is distributed in a coordinated, equitable fashion in order to make address the areas of greatest need in Utah.

Consultation

The State of Utah consulted with a wide variety of partners with expertise in serving HOME-ARP qualified populations. Utah divides the state into 13 areas with similar demographics and who have a history of collaboration in regards to serving those experiencing homelessness. These areas are called Local Homeless Councils (LHC) and each has identified local leadership that is tasked with overseeing the homeless response system for that LHC. Each of the 13 LHC's were approached for their input on the best use of HOME-ARP funds in relation to ending homelessness in their area. In addition to engaging with CoCs, LHCs, and mainstream homeless service providers, efforts were made to include groups with expertise who have not always participated in the CoC or LHC structure, such as the Disability Law Center and Utah ACLU.

Partners were provided with an overview of the HOME-ARP requirements and were invited to provide their recommendations via virtual meetings or written responses. The online meetings facilitated discussion on general areas where the HOME-ARP funds may be effective. Specific recommendations for projects or programs were not considered through the consultation process. Areas with specific projects were encouraged to engage local leaders about the opportunity that HOME-ARP provides and to begin laying the groundwork for project applications once the allocation plan was approved.

Organizations consulted

Agency/Org Consulted	Type of Agency/Org	Method of Consultation	Feedback
Salt Lake Area VA	Veterans Organization	Zoom call	Housing is a major need for homeless veterans.
Utah Domestic Violence Coalition	Statewide Domestic Violence Coalition	Zoom Call, Web Survey	Additional housing and shelter capacity are needed for survivors of domestic violence. DVSPs are very interested in capacity building.
Utah Department of Human Services	State Government Agency	Zoom call	The biggest gaps in their area of expertise is "step down" and transitional housing for those exiting mental health programs. Local health authorities gather data on people experiencing homelessness when entering programs, which will be used to show gaps for housing supports for those individuals. Non-congregate shelter is preferred over congregate shelter for the population of those with severe mental illness.
Utah Balance of State CoC Leadership	CoC	Google Meet, Web Survey	Need in the BoS is varied. Specific in the Weber county area, there are political barriers to non-congregate shelter though

			the need is great. Higher need for affordable housing and highly supportive housing vouchers.
Utah Disability Law Center	Private non-profit	Email	There needs to be a focus on development of housing, which is physically accessible, deeply affordable, and does not segregate residents with disabilities from the larger community.
Mountainland CoC	CoC	Zoom, Web Survey	The CoC sees non-congregate shelter and additional affordable housing as their greatest needs. Non-congregate shelter is a particularly high need as the only emergency shelter facilities currently in the CoC are DV dedicated and there is a need for more widely accessible shelter.
ACLU of Utah	Private non-profit	Email and Phone Requests	None
Six County AOG	LHC	Phone, Web Survey	There is a need for supportive services, agency capacity building, and non-congregate shelter.
Bear River AOG	LHC	Google meet and email, Web Survey	Affordable housing and non-congregate shelter are a priority. Non-congregate could be as simple as a winter emergency facility. Supportive services and capacity building are also needed.
Ogden and Weber Housing Authorities	BoS Leadership and Public Housing Authority	Google Meet	Need for affordable housing development and multiple projects in different stages of construction. Affordable housing funding would immediately impact the inventory in the Weber LHC.
Switchpoint Tooele	LHC member, Homeless service provider	Phone and Email	Affordable Housing and non-congregate shelter are top priorities. Have projects that have a small gap left to proceed.
Switchpoint and St. George City	LHC Chair and Homeless service provider	Email	Non-congregate shelter is the priority
Moab Valley Multicultural Center	LHC member and homeless service provider	Google Meet, Web Survey	Supportive services are lacking for immediate housing needs. A small Non-congregate shelter is another priority to provide somewhere for people to stay while looking for housing.
Iron County Care and Share	LHC member and homeless service provider	Zoom	Affordable housing and gap financing are extremely needed. Small non-congregate facility with flexibility would also be beneficial.
San Juan County	LHC chair and homeless service provider	Google form	Tenant Based Rental Assistance is the top priority, followed by supportive services.

New Horizons Crisis Center	LHC member/Domestic violence service provider	Phone Call	Affordable housing, non-congregate shelter, and capacity building are priorities in their community
Utah Homeless Network	Statewide Homeless Network, LHC Leadership	Zoom	Non-congregate shelter and affordable housing the main priorities.
Salt Lake Valley Coalition to End Homelessness Executive Committee	LHC/CoC	Zoom	Top priorities are development of affordable housing and non-congregate shelter. Recognized needs in other parts of the state and expressed support for prioritizing projects not in other PJs and those with other funding already secured.

Some organizations have been grouped with the larger LHC for easier viewing. All feedback received is presented as noted by the Office of Homeless Services staff conducting the consultation process.

Public Participation

- **Public comment period:** 02/08/2022-02/23/2022
- **Public hearing:** conducted via zoom and in person at the Metro Employment Center in Salt Lake City, UT on 02/18/2022

Public comment was encouraged as part of every consultation meeting. Notice of public comment period was sent to all members of the Utah Homeless Network and published on the Utah Public Notice website. A press release was shared with media sources provided by the Utah Department of Workforce Services outlining the time, place, and method for providing public input.

A virtual public hearing was held on Friday February 15th via Zoom virtual meeting/call in with an in-person anchor location of the DWS Metro Employment Center, 720 S 200 E, Salt Lake City, UT 84111. Public notice was published in both Spanish and English, with a translator available for the virtual/call in public hearing. Information concerning virtual meeting access posted to the public notice website.

Summary of the comments and recommendations received through the public participation process:

OHS received public comment from twenty individuals during our public hearing and an additional seven written comments via email. OHS did not receive any direct recommendations for changes to the plan. There was general consensus that it was vital to use these funds to develop additional affordable housing. There was also support for acquiring and developing non-congregate shelter.

Summary of any comments or recommendations not accepted and the reason(s) why:

The only comments that were not accepted were those that called for using HOME-ARP funds for ineligible activities.

Needs Assessment and Gaps Analysis

2021 Point in Time and Housing Inventory Count

		Current Inventory								Homeless Population				
		Total		Family		Adults Only		Vets	DV	Total	Family HH (at least 1 child)	Adult HH (w/o child)	Vets	Victims of DV
		# of Beds	# of Units	# of Beds	# of Units	# of Beds	# of Units	# of Beds	# of Beds					
Emergency Shelter		2,621		826	127	1,267		0	495					
Transitional Housing		587		405	120	181		97	335					
Permanent Supportive Housing		3,276		1,197	315	2,079		847	10					
Other Permanent Housing		64		42	9	22		12	0					
Rapid Rehousing		1,436		995	297	441		203	119					
Sheltered Homeless	Households									1,875	221	1,644	129	
	Individuals									2,410	746	1,653	133 (Total individuals, 129 vets)	559
Unsheltered Homeless	Households									?				
	Individuals									1,155				
Total Homeless	Households									>1,875	>221	>1,644	>129	
	Individuals									3,565	>746	>1,653	>133 (Total individuals, 129 vets)	>559



2020 Point in Time and Housing Inventory Count

		Current Inventory								Homeless Population				
		Total		Family		Adults Only		Vets	DV	Total	Family HH (at least 1 child)	Adult HH (w/o child)	Vets	Victims of DV
		# of Beds	# of Units	# of Beds	# of Units	# of Beds	# of Units	# of Beds	# of Beds					
Emergency Shelter		2,563		879	148	1,388		0	556					
Transitional Housing		550		360	100	189		105	309					
Permanent Supportive Housing		3,085		1,338	408	1,781		741	21					
Other Permanent Housing		174		56	13	118		5	0					
Rapid Rehousing		999		640	178	359		87	71					
Sheltered Homeless	Households									1,745	283	1,449	98	
	Individuals									2,427	961	1,453	104 (98 Vets)	656
Unsheltered Homeless	Households									639	7	632	16	
	Individuals									704	20	684	17 (16 Vets)	70
Total Homeless	Households									2,384	290	2,081	114	
	Individuals									3,131	981	2,137	121 (114 Vets)	726



Size and demographic composition of qualifying populations within the PJ's boundaries

The 2020 and 2021 Point in Time Counts each found that over 3,100 Utahns experienced literal homelessness on a single night in January. The data from the Utah Homeless Management Information System (UHMIS) shows that over 10,000 Utahns experienced sheltered homelessness during Federal Fiscal Year 2020. This annual count does not include those experiencing unsheltered homelessness, a population which made up about 23% of the 2020 PIT count and which our communities and partners report grew during 2021, or those in facilities that do not enter into the system. Each of these statistics are considered to understate the total population of those experiencing homelessness in the state due to the difficulties in achieving a complete PIT count and the limitations on UHMIS participation.

The majority of those experiencing homelessness during the 2020 PIT count, 68%, were adults in households without children, while individuals in households of adults and children made up 31% of those counted. Unaccompanied children made up less than 1% of the overall count. 726 of those counted in 2020 identified as currently fleeing domestic violence, accounting for 23% of the total count. Veterans made up 4% of Utah's 2020 count, with 114 verified as experiencing homelessness on the night of the count.

Those experiencing housing instability who may be at risk of homelessness are very difficult to quantify. Additional efforts were not made to measure this qualifying population as the large number of those experiencing literal homelessness and the availability of additional rental support funding in the state made those still in housing a lower priority for this funding source.

Unmet housing and service needs of qualifying populations

Current resources available for all of the eligible activities listed in the HOME-ARP notice were identified during the consultation process as insufficient to meet the needs of the qualifying populations. Every partner that provided input for HOME-ARP activities described shortages in affordable housing, case management, rapid rehousing, and agency capacity building.

The shortage of funding for affordable housing and supportive services for those experiencing literal homelessness far exceeds the funding awarded to the State of Utah in HOME-ARP. Different agencies and different methods of quantifying the shortage of housing and services yield different sizes of the gap, but all find that the amount of affordable housing in any community is below what is required for those who require it.

An example of one such study to find the housing gap was conducted by the Salt Lake CoC in August 2021 which found that in Salt Lake County alone there was a shortage of 900 deeply affordable housing units (under 40% AMI) and 750 permanent supportive housing units. This gap was anticipated to grow 47% each year in both categories.

Current resources available to assist qualifying populations

Currently, Utah has a variety of mechanisms to assist in the creation of affordable housing and for maintaining current supportive services capacity. This includes the National Housing Trust Fund, HOME, Low Income Housing Tax Credits, Local Affordable Housing Development Funds, State of Utah general funds, Emergency Solutions Grant funding, Temporary Assistance for Needy Families funding, Housing

Opportunities for Persons with Aids, CoC Supportive Housing Vouchers, and other similar funding sources dedicated to the qualifying populations listed in the notice.

Even with all of the available funding sources, the gap in affordable housing continues to grow according to all available measures and feedback from those consulted in regards to HOME-ARP funding. Additionally, Utah is considered by national housing experts to be experiencing one of the most severe rental price increases in the United States. (<https://www.deseret.com/utah/2021/9/13/22671694/report-rent-prices-in-these-utah-counties-are-skyrocketing-entrata-salt-lake-utah-county>)

Currently in Utah, there is not a dedicated funding source for the creation of non-congregate shelter, making HOME-ARP a unique funding source for those communities who lack capacity to shelter all individuals experiencing homelessness or in need of crisis shelter services.

Gaps within the current shelter and housing inventory as well as the service delivery system

The Point in Time Count, Housing Inventory Count, and Utah Affordable Housing report were all utilized in the analysis of housing inventory and shelter bed gaps. Every community consulted and reviewed showed an affordable housing gap, with the estimated statewide need at approximately 50,000 units. This gap extends to homeless-dedicated and supportive housing units. Additionally, providers in large metropolitan areas identified the lack of supportive housing case management as an additional gap for qualifying populations. The 2020 and 2021 Point-in-Time Counts and Housing Inventory Counts also demonstrate that there are not enough emergency shelter beds in the state to meet the needs of all those in need of shelter on a single night.

The 2020 counts showed a deficit of nearly 200 beds statewide with 77% of the current supply occupied on that night. The deficit is higher when the ability of those experiencing unsheltered homelessness to access beds dedicated to youth and domestic violence survivors is considered in the analysis, with 83% of undedicated beds being full and the majority of the unsheltered population not qualifying for a bed dedicated to specific subpopulations. While methodology changes made in light of COVID-19 make it difficult to make direct comparisons between the 2021 and 2020 counts, those results and the consensus of community partners indicates that the deficit grew during 2021. 2021 also revealed the limits of the congregate shelter facilities that make up the vast majority of Utah's emergency shelter supply, with many needing to reduce capacity in order to enact COVID-19 safety measures.

The need for emergency shelter impacts all three of Utah's CoCs, but is especially stark outside of Salt Lake County. Eight of the thirteen local homeless councils (LHCs) in Utah, all of which are in the Mountainland and Utah Balance of State CoCs, do not currently have a year-round shelter facility that is able to serve anyone experiencing homelessness. As a result, these areas have to rely on hotel vouchers or transport households to other parts of the state in order to meet the shelter needs of their residents. Neither option is ideal, as relying on hotels results in high costs and is subject to limited availability, particularly in rural areas with thriving recreation and tourism industries, while forcing individuals to seek shelter elsewhere imposes additional burdens and barriers on those already coping with the harsh realities of experiencing homelessness.

Priority needs for qualifying populations

During the consultation process, it was identified by all partners that those meeting the first qualifying population criteria of literal homelessness were the highest need of the qualifying populations listed in the HOME-ARP notice. As a result, The State of Utah is not proposing setting aside a portion of its allocation for any specific subpopulations, although projects dedicated to serving subpopulations of those experiencing literal homelessness, such as survivors of domestic violence and veterans, would still be eligible to apply. The top priority identified in consultation with providers, partners, and available data was the creation of new, deeply affordable housing. Second was the need for additional non-congregate shelter options, especially in rural areas that do not have any available crisis shelter.

HOME-ARP Activities

Anticipated method for soliciting applications for funding and/or selecting developers, service providers, sub-recipients and/or contractors

The State of Utah will not administer any activities directly. All projects will be selected via a request for grant applications in accordance with established State of Utah Department of Workforce Services policy. Local stakeholders, such as LHC leadership and city and county staff who are familiar with the needs of those experiencing homelessness, will be utilized during the review, scoring, and selection process. All funding will be allocated according to regional needs and projects in the same region will be grouped together when reviewing applications. Other statewide entities unique to Utah, such as the Utah Homeless Network and the Utah Homelessness Council, will also be utilized in the review, scoring, and selection of eligible projects.

Proposed Use of HOME-ARP Funding

	Funding Amount	Percent of the Grant	Statutory Limit
Supportive Services	\$ 973,403.80		
Acquisition and Development of Non-Congregate Shelters	\$ 5,840,422.80		
Tenant Based Rental Assistance (TBRA)	\$ 0.00		
Development of Affordable Rental Housing	\$ 2,920,211.40		
Non-Profit Operating	\$ 648,935	5%	5%
Non-Profit Capacity Building	\$ 648,935	5%	5%
Administration and Planning	\$ 1,946,807	15 %	15%
Total HOME ARP Allocation	\$12,978,715		

Characteristics of the shelter and housing inventory, service delivery system, and the needs identified in the gap analysis provided a rationale for the plan to fund eligible activities

Utilizing existing data from HMIS and HUD, there is a demonstrated gap in shelter and housing in every Local Homeless Council (LHC) in Utah. The affordable housing deficit in Utah continues to grow and the real estate market is among the fastest growing in the country. Additionally, the Point in Time count conducted each year shows a growing gap between those

seeking shelter and the number of beds available. With this information, it was determined that each area of the State has sufficient need to improve both shelter and housing inventory, if available resources exist both politically and fiscally.

When considering the process of selecting individual projects for funding, priority will be given to projects that are not eligible for HOME-ARP from other participating jurisdictions, followed by those that have already secured funding from other sources, including other PJs' HOME-ARP. Consideration will also be given to the needs of the area and the proportion of the available HOME-ARP funding that is being utilized in a particular LHC. Hard caps on funding for a given project or LHC are not being suggested at this time, but may be considered in the future.

Given the current focus on affordable housing and multiple funding streams being pursued to address that need, greater focus is given to the unique activity available through HOME-ARP of acquisition and development of non-congregate shelter. The Point in Time count conducted each year justifies this focus and highlights the need for a larger, more diverse emergency shelter inventory throughout the state.

Proposed funding for Supportive Services, Development of Affordable Rental Housing, and Acquisition and Development of Non-Congregate Shelter was determined according via formula based on priorities identified during the gap analysis and consultation process.

HOME-ARP Production Housing Goals

Estimated number of affordable rental housing units for qualifying populations produced or support with HOME-ARP allocation

With the amount of money proposed to be used for affordable housing, it is estimated that 45 units of affordable housing will be created. This is assuming that funding will not entirely fund the creation of affordable units, or that rehabilitation will be limited to \$65,000 per unit. This is only an estimation and does not include any housing accessed through supportive services.

This goal of the creation of 45 new or newly affordable housing units is small compared to the overall need in the State. By targeting these units in areas that are not normally focused on for affordable housing development, and where the need is smaller than in large population centers, this will create a much larger impact. Additionally, these 45 units could encourage other development in these areas and prove the feasibility of pursuing affordable units in rural areas.

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		
* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		
* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>		
* 3. Date Received: 04/08/2021		4. Applicant Identifier: <input type="text"/>
5a. Federal Entity Identifier: <input type="text"/>		5b. Federal Award Identifier: M21-SP490100
State Use Only:		
6. Date Received by State: <input type="text"/>		7. State Application Identifier: <input type="text"/>
8. APPLICANT INFORMATION:		
* a. Legal Name: State of Utah		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 87-6000545		* c. UEI: 621491328
d. Address:		
* Street1: 140 East 300 South		
Street2: <input type="text"/>		
* City: Salt Lake City		
County/Parish: <input type="text"/>		
* State: UT: Utah		
Province: <input type="text"/>		
* Country: USA: UNITED STATES		
* Zip / Postal Code: 84111-2305		
e. Organizational Unit:		
Department Name: Department of Workforce Services		Division Name: Housing and Community Development
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: Mr. * First Name: Russell		
Middle Name: <input type="text"/>		
* Last Name: Goodman		
Suffix: <input type="text"/>		
Title: Program Manager, Office of Homeless Services		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: 801-231-1339		Fax Number: <input type="text"/>
* Email: russellgoodman@utah.gov		

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="A: State Government"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="Office of Community Planning and Development"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14.239"/>	
CFDA Title: <input type="text" value="Home Investment Partnerships Program"/>	
* 12. Funding Opportunity Number: <input type="text" value="CFD-21-10"/>	
* Title: <input type="text" value="HOME-American Rescue Plan Program"/>	
13. Competition Identification Number: <input type="text"/>	
Title: <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="To address homelessness and housing instability throughout Utah."/>	
Attach supporting documents as specified in agency instructions. <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div>	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant <input style="width: 100px;" type="text" value="UT-002"/>	* b. Program/Project <input style="width: 100px;" type="text" value="UT-A11"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input style="width: 150px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input style="width: 100px;" type="text" value="10/01/2021"/>	* b. End Date: <input style="width: 100px;" type="text" value="09/30/2030"/>
18. Estimated Funding (\$):	
* a. Federal	12,978,715.00
* b. Applicant	0.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	12,978,715.00
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input checked="" type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input style="width: 100px;" type="text" value="03/04/2022"/> .	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input style="width: 150px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="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)	
<input checked="" type="checkbox"/> ** I AGREE	
<small>** 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.</small>	
Authorized Representative:	
Prefix: <input style="width: 100px;" type="text" value="Ms."/>	* First Name: <input style="width: 150px;" type="text" value="Casey"/>
Middle Name: <input style="width: 150px;" type="text" value="R."/>	
* Last Name: <input style="width: 150px;" type="text" value="Cameron"/>	
Suffix: <input style="width: 100px;" type="text"/>	
* Title: <input style="width: 150px;" type="text" value="Executive Director"/>	
* Telephone Number: <input style="width: 100px;" type="text" value="801-526-9832"/>	Fax Number: <input style="width: 100px;" type="text" value="801-363-0818"/>
* Email: <input style="width: 150px;" type="text" value="caseycameron@utah.gov"/>	
* Signature of Authorized Representative:	* Date Signed: <input style="width: 100px;" type="text" value="03/04/2022"/>

REVIEWED
BY: [Signature] DATE: 03/04/2022

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Executive Director
APPLICANT ORGANIZATION State of Utah Department of Workforce Services	DATE SUBMITTED 03/04/2022

Standard Form 424B (Rev. 7-97) Back

REVIEWED
By: Michael Farnsworth at 4:55 pm, Mar 03, 2022

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 02/28/2022

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NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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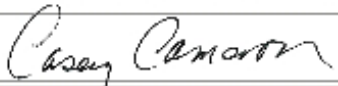
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Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of

Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Executive Director
APPLICANT ORGANIZATION State of Utah Department of Workforce Services	DATE SUBMITTED 03/04/2022

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HOME-ARP CERTIFICATIONS

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

Affirmatively Further Fair Housing --The jurisdiction will affirmatively further fair housing pursuant to 24 CFR 5.151 and 5.152.

Uniform Relocation Act and 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, (42 U.S.C. 4601-4655) and implementing regulations at 49 CFR Part 24. It will comply with the acquisition and relocation requirements contained in the HOME-ARP Notice, including the revised one-for-one replacement requirements. It has in effect and is following a residential anti-displacement and relocation assistance plan required under 24 CFR Part 42, which incorporates the requirements of the HOME-ARP Notice. It will follow its residential anti-displacement and relocation assistance plan in connection with any activity assisted with funding under the HOME-ARP program.


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 and program requirements.

Section 3 --It will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and implementing regulations at 24 CFR Part 75.

HOME-ARP Certification --It will use HOME-ARP funds consistent with Section 3205 of the American Rescue Plan Act of 2021 (P.L. 117-2) and the CPD Notice: *Requirements for the Use of Funds in the HOME-American Rescue Plan Program*, as may be amended by HUD, for eligible activities and costs, including the HOME-ARP Notice requirements that activities are consistent with its accepted HOME-ARP allocation plan and that HOME-ARP funds will not be used for prohibited activities or costs, as described in the HOME-ARP Notice.


Nathan McDonald (March 29, 2022 15:20 MET)
Signature of Authorized Official
Deputy Director
Title

03/29/2022
Date