FY 2012 (PY 2011) Annual Action Plan
Substantial Amendment
Emergency Solutions Grant (ESG) Program
(formerly Emergency Shelter Grant)

Prepared by
Office of Budget and Grants Management
I. Introduction

This is the City of Norfolk’s (the city) FY 2012 Annual Action Plan: Addendum – Emergency Solutions Grant which substantially amends its FY 2012 Annual Plan and serves as the city’s official 2012 application to the U.S. Department of Housing and Urban Development (HUD) Office of Community Planning and Development for Emergency Solutions Grant funds.

The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act), enacted into law on May 20, 2009, consolidates three of the separate homeless assistance programs administered by HUD under the McKinney-Vento Homeless Assistance Act into a single grant program, and revises the Emergency Shelter Grants program and renames it as the Emergency Solutions Grants (ESG) program. The HEARTH Act also codifies into law the Continuum of Care planning process, a longstanding part of HUD’s application process to assist homeless persons by providing greater coordination in responding to their needs.

On November 15, 2011, the U.S. Department of Housing and Urban Development released an interim rule which revises the regulations for the Emergency Shelter Grants program by establishing regulations for the Emergency Solutions Grants program. The change in the program’s name, from Emergency Shelter Grants to Emergency Solutions Grants, reflects the change in the program’s focus from addressing the needs of homeless people in emergency or transitional shelters to assisting people to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness.

Additional funding has been allocated in FY 2012 in conjunction with the interim Emergency Solutions Grant rule. The City of Norfolk was awarded $128,141 in additional ESG funds. The City of Norfolk’s Office of Budget and Grants Management is the administering agency for the ESG funds. The Emergency Solutions Grant is a HUD formula entitlement program. It is therefore bound to HUD’s Consolidated Plan regulations. Under existing Consolidated Plan citizen participation regulations, substantial amendments to an approved Plan are required to undergo a 30-day comment period prior to its submission to HUD.

The public comment period began on Sunday, April 15, 2012 through Monday, May 14, 2012. All comments received, if any, will be attached at the end of the comment period (close of business) and will be summarized and the city’s responses incorporated into the FY 2012 Annual Plan amendments addendum for submission to HUD.

According to the interim rule, localities were required to submit their amendments to HUD no later than May 15, 2012 in order to be eligible to receive their respective allocation. This proposed amendment is provided in HUD’s suggested grant submission template in a question and answer format. Answers provided by the City of Norfolk are provided following each question.

In addition to the suggested template, the complete amendment contains the following additional federally-required materials: The Emergency Solutions Grant Certifications; and, Standard Form-424 (SF-424) Application for Federal Assistance; respectively. The previously mentioned materials are incorporated as appendices at the end of this template.
A. Requirements for Preparing the Substantial Amendment to the FY 2011 Consolidated Plan Annual Action Plan

2. Citizen Participation - Follow existing citizen participation plan for completing a substantial amendment.

City Response: The City of Norfolk participates in a number of groups and committees to better understand the concerns and needs of citizens with housing challenges. These groups include government officials, nonprofit service providers, advocates and business leaders.

The city provided a 30-day comment period of the draft Substantial Amendment to the FY 2012 Annual Action Plan from April 13, 2012 – May 14, 2012. The public input process included notification through a notice published in the Virginian Pilot and by holding a public hearing on April 26, 2012 (where public comments were to be received), by posting the substantial amendment notice on the City of Norfolk’s website and email notifications to the Office to End Homelessnessness and to Norfolk’s Continuum of Care (CoC).

- Summary of public comments or view received
  (Will be provided at the end of the comment period)

- Summary of the comments or views not accepted and the reasons for not accepting those comments or views
  (Will be provided at the end of the comment period)

B. Required Contents of Substantial Amendments

1. SF–424

City Response: The required Standard Form (SF) 424 can be found in the attached appendices.

2. Summary of Consultation Process

City Response: The City of Norfolk’s Office to End Homelessness regularly participates in monthly meetings hosted by the CoC and the Norfolk Homeless Consortium. The Office to End Homelessness serves as the City of Norfolk’s liaison to these community groups. Preliminary discussions regarding the city’s second ESG allocation began in October 2011 and these community groups were invited to participate in the webinars provided by HUD on the changes that were coming with the new ESG regulations. The city did inform CoC members of HUD’s focus to use ESG funds to help persons/families rapidly secure and maintain permanent housing as the solution to ending homelessness and the need to fill the gap in the development of a central intake process for single adults, including a strategy to develop a street outreach team as a vehicle for this requirement. The city also informed members that the city would use its second ESG allocation to undertake eligible programs; however, a competitive process would not be undertaken since the city had already received applications for its FY 2013 Emergency Solutions Grant Program to be considered.

Upon HUD’s publication of its Final Rule of the Definition of Homelessness and revised regulations of Title 24 Chapter 576: Emergency Solutions Grants Program, the city began developing administrative and programmatic standards governing the future use of Emergency Solutions Grants funding. On April 14, 2012, the city provided public notice of its proposed allocations and followed up with an email distribution of the plan and a specific request for the CoC to provide feedback. The CoC was also provided presentations by the CoC coordinator on the importance of the new regulations, the need to develop a more tightly coordinated process, the ESG allocation changes, project performance standards,
and maintaining CoC’s integrity of complying with federal regulations and locally adopted HMIS standards. CoC members who did directly respond to the allocation plan were supportive. The Office to End Homelessness provided feedback that during the HPRP planning process, the CoC members had expressed concerns regarding the city’s requirement for agencies to recover security deposits paid with ESG funds from landlords which is addressed in this ESG amendment. Also, during presentations by the CoC on HEARTH, there were concerns expressed about the city’s performance standard establishing emergency shelters’ average length of stay less than 21 days.

Members expressed that their experience in attempting to recover security deposits requires a significant amount of resources and energy that most of them cannot afford to endure. Also, the short-term nature of assisting ESG clients would pose difficulty in agencies knowing that there was a need to recover a security deposit if a client moved after ESG assistance/services ended. The city is changing the instructions related to security deposits provided with ESG funds based on experience with the HPRP program. HPRP allowed the security deposit to be assigned to the tenant when provided to the landlord as payment for move-in. This instruction included the provision of an agreement with the landlord through a promissory note that ensured that this was assigned to the tenant. This was in response from providers and landlord that indicated that when the tenant knew that they were assigned the security deposit they were more likely to properly maintain their unit and more careful about terminating their lease appropriately. This also prevents the tenant from needing additional assistance in the future when they were ready to move to a new unit.

The CoC had given rise to concern that the city’s performance standard for the average length of stay in the emergency shelter of 21 days was inconsistent with the city’s performance standard of helping homeless persons obtain permanent housing within 60 days. The city has resolved this concern by amending its performance standard for the average length of stay in an emergency shelter to 60 days.

The CoC had previously adopted standards regarding participation in the City of Norfolk’s Homeless Management Information System (HMIS) for Continuum of Care funded agencies and supported the inclusion of ESG funded agencies when approached in 2011. The lead agency for the city is The Planning Council who serves as the region’s consultant and as the HMIS technical administrator. Participating agencies are required to sign a Certificate of Participation acknowledging their agreement to abide by the CoC’s HMIS data and security standards and payment of user fees. This year will be used to fully align the city and CoC Standards for HMIS participation and allows for HMIS fees to be included in budgets for ESG-funded agencies.

3. Summary of Citizen Participation Process

- (See 1. Consultation)

City Response: Currently, the City of Norfolk will follow the Citizen Participation Plan described in the FY 2012-FY 2016 Consolidated Plan. In the case of any proposed substantial amendment, the City of Norfolk will publish a public notice in the local newspaper and at least one before a public hearing and public comment period. The notice will include a summary of the amendment and a list of the locations where copies of the amendment may be reviewed.

In accordance with the City of Norfolk’s Citizen Participation Plan, the city provided a 30-day comment period extending from April 13, 2012 to May 14, 2012 to provide the public with an opportunity to provide written feedback regarding the city’s Substantial Amendment and the city’s proposed ESG Written Standards Policy. A legal notice was published in the local paper of record, Virginian Pilot, on April 15, 2012. Written comments were directed to:
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

Kimberley Pierce
Division Head
Office of Budget and Grants Management
810 Union Street
Norfolk, VA 23510

- Summarize the public comments or views received
  City Response: The City of Norfolk did not receive any comments during the comment period.

- Summarize the comments or views not accepted and include the reasons for not accepting those comments or views.
  City Response: A summary of written comments received, if any, and the city’s response to comments accepted or not accepted will be included in the final Substantial Amendment document. The approved Substantial Amendment document will be posted on the city’s website as part of the FY 2012 Annual Action Plan.

4. Match

- Describe the types of cash and/or non-cash resources used as match
  City Response: In accordance with 24 CFR 576.201, program regulations require the City to match the second allocation with an equal amount of funding from federal, state, or local resources. Eligible matching sources includes: cash and non-cash contributions including any real property, equipment, goods, or services contributed to the recipient's or subrecipient's ESG program, provided that if the recipient or subrecipient had to pay for them with grant funds, the costs would have been allowable. Noncash contributions may also include the purchase value of any donated building.

With respect to the city’s ESG allocation, the city will appropriate $15,306 which is the maximum allowable administrative allocation under the second FY 2012 ESG allocation, and 7.5% of future allocations for the city’s administration of the ESG program. The remaining 92.5% will be outsourced to qualified providers to implement eligible ESG activities in accordance with the city’s competitive application process.

Subrecipients funded under this allocation will be required to complete a detailed budget which clearly delineates secured/ proposed sources of ESG match and a detailed budget which identifies expenses and uses of ESG funds and other sources. Based upon past awards, matching sources are typically derived from cash matches from the United Way, private donations, in-kind donations, City of Norfolk, state funds, client payments, and fundraising efforts.

- Specify the amounts of resources used as match
  City Response: The amount of match supplied will be equal to the amount of funds allocated to the nonprofit agencies via the second allocation. This amount is anticipated to equal or exceed $112,835.

Street Outreach and Rapid Re-Housing Housing Relocation and Stabilization Services will provide the base for the Central Intake for Singles ($52,000) and will be matched with the Projects for Assistance in Transition from Homelessness (PATH) program. The PATH program already provides outreach and services to assist persons in rapid re-housing both through staffing and assistance resources and will be working on the Norfolk Street Outreach Partnership team with this new position.

Rapid Re-Housing Tenant-Based Rental Assistance ($25,000) will be matched with the case managers providing the Housing Stabilization and Case Planning services to meet the case planning requirements for this assistance. These case managers are funded through the Department of Human Services’
Homeless Action Response Team (HART) program. The source of funds for these case managers are partially through state funds and partially through the city’s general fund.

Homeless Prevention Tenant Based Rental Assistance ($35,835) will be matched with the case managers providing the Housing Stabilization and Case Planning services to meet the case planning requirements for this assistance. These case managers are funded through the Department of Human Services’ HART program for a portion of this fund. The Planning Council also provides a portion of this assistance and has other sources for this program from state and local resources to match the assistance under this program. The source of funds for these case managers and rental assistance are partially through state funds and partially through the city’s general fund and the city-funded HSG grant.

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<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>City of Norfolk – Dept. of Human Services*</td>
<td>-0-</td>
<td>$112,835</td>
<td>$112,835</td>
<td>Human Services Grant (local city grant funds) $112,835</td>
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<td>Ecumenical Family Shelter</td>
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<td>-0-</td>
<td>$49,997</td>
<td>Human Service Grant (local city grant funds) $49,997</td>
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<tr>
<td>ForKids, Inc.</td>
<td>$49,770</td>
<td>-0-</td>
<td>$49,770</td>
<td>State Shelter Grant (SSG) $3,224</td>
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<tr>
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<td>United Way $10,770</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Community Donations $35,776</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>ForKids Total Match $49,770</td>
</tr>
<tr>
<td>St. Columba Ecumenical Ministries, Inc.</td>
<td>$27,675</td>
<td>-0-</td>
<td>$27,675</td>
<td>In-Kind Donations (Volunteers, cash, food) $27,675</td>
</tr>
<tr>
<td>The Planning Council, Inc.**</td>
<td>$36,403</td>
<td>-0-</td>
<td>$36,403</td>
<td>State of VA Dept. of Housing &amp; Community Development $36,403</td>
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<tr>
<td>The Salvation Army</td>
<td>$25,494</td>
<td>-0-</td>
<td>$25,494</td>
<td>Community Donations $25,494</td>
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<tr>
<td>YWCA of South Hampton Roads</td>
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<td>$27,078</td>
<td>Human Service Grant (local city grant funds) $27,078</td>
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<tr>
<td>Subtotal Amount</td>
<td>$216,417</td>
<td>$112,835</td>
<td>$329,252</td>
<td></td>
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<tr>
<td>ESG City Administration</td>
<td>$11,390</td>
<td>$15,306</td>
<td>$26,696</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>$227,807</td>
<td>$128,141</td>
<td>$355,948</td>
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*The Department of Human Services match requirement from the City’s Human Services Grant totaling $112,835 and allocates approximately 40% towards supporting a case manager position that will be providing case management services for the Street Outreach, Homeless Prevention and Rapid Re-Housing programs. The remaining matching funds allocate approximately 60% towards providing direct financial assistance for the Homeless Prevention and Rapid Re-Housing Program for homeless individuals and families at risk of becoming homeless.

**The Planning Council intends to utilize their State of Virginia Department of Housing and Community Development Grant towards their FY 2012 match requirement allocating $36,403 that will support a housing specialist for the homeless prevention and rapid re-housing housing relocation and stabilization services.

The remaining ESG sub-recipients will utilize matching funds in conjunction with ESG funds towards providing case management services, counseling, child care, transportation, supportive services,
Emergency Solutions Grant (ESG) Program  
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

security, and the operations for the emergency shelters and administrative cost associated with the management of the grant.

- Describe the proposed uses of match resources

City Response: ESG assisted agencies will meet the required match with an equal amount of funding for salaries and support costs of case managers, prevention and rapid re-housing resources, supplies for outreach activities, and shelter operating costs.

5. Proposed Activities and Overall Budget

City Response: The first ESG allocation of $227,807 funded administration and emergency shelter activities. Deducting the small allocation of $11,390 for administrative costs, the remaining program funds of $216,417 was allocated to fund housing shelter services.

After the release of the 2012 additional allocation and the new ESG rules, the initial allocation was adjusted to move $36,403 from Operations and Essential Operations into Rapid Re-Housing and Homeless Prevention activities.

Additionally, the second allocation is proposed to provide: Street Outreach in Essential Services, additional funds for Rapid Re-Housing, and additional funds for Homeless Prevention. The Street Outreach fund combined with Rapid Re-Housing Housing Stabilization Services will provide a full time employee to be the primary staff and central point of contact for the initiation of a Central Intake for single homeless adults, through the collaborative effort, the Norfolk Street Outreach Partnership.

Please see “Tables 3C” for a concise description of the activity(s), including the number and types of persons to be served, corresponding standard objective and outcome categories, start date and completion data, and ESG and other funding amounts. As funds for the second FY 2012 allocation are open to rapid re-housing, homeless prevention, and street outreach, rapid re-housing and homeless prevention will be provided to fulfill priority needs for ending homelessness. Allowable activities for each activity under financial assistance may include utilities, moving costs, rent application fees, security deposit, last month’s rent, utility deposit and utility payments. Eligible services include housing search/placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.

a. Proposed Activities
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

City Response: The second ESG allocation of $128,141 is proposed to fund program eligible activities. After deducting $15,306 for administrative expenses, the remaining program funds of $112,835 will be used to initiate street outreach as the vehicle for a centralized intake alternative for single adults, housing services and/or HMIS fees. HMIS is the central database that HUD will use for federal reporting; it also provides the local CoC with valuable statistical and trend information to help with planning efforts to mitigate homelessness.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Street Outreach $31,200</th>
</tr>
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</table>
| **Activity Description:** ESG funds will be used towards the development of the lead staff to coordinate the Norfolk Street Outreach Partnership. This activity to initiate a centralized system of outreach and intake for single adults experiencing homelessness. This position will be developed to provide a 'Streets to Home' model where this staff member provides the outreach service as well as rapid re-housing assistance. Sixty percent of this position is funded through Street Outreach and the balance of 40 percent is funded through Rapid Re-Housing. In coordination with the other members of the Norfolk Street Outreach Partnership, the goal is to ensure that every street homeless individual in Norfolk is approached and as many as possible are assisted with a housing plan during engagement. The priority for outreach is persons who are identified as vulnerable through the already existing 100,000 Homes Initiative of which this position will be a member.

The Street Outreach component will include the eligible activities related to reaching out to unsheltered homeless individuals, connecting them to emergency shelter, housing, or critical services, and providing them with urgent, non-facility-based care. Services may also include engagement, case management, emergency health and mental health services, and transportation.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Rapid Re-Housing $45,800 and Re-allocation Amount $18,201</th>
</tr>
</thead>
</table>
| **Activity Description:** HUD's webinars related to the new activities allowable under ESG have emphasized Rapid Re-housing as a priority for the second allocation of the FY 2012 funding. This focus on investment in re-housing people who live on the streets or in shelters is a thread that runs consistently through the related federal notices, as well as in remarks by HUD Secretary Donovan in the video message on HUD’s Homeless Resource Exchange (HRE) website.

The intended result of utilizing ESG funds to rapidly re-house homeless persons in and out of shelters in Norfolk is to reduce the number of homeless people in the city including chronically homeless persons, veterans, families with children and homeless/ run-away youth. Ending homelessness will require garnering much more support than is available in this new ESG funding source. The City of Norfolk intends to do its best to use ESG re-housing dollars to move as many people as possible from shelters and the streets into permanent housing.

The City of Norfolk launched its local 100,000 Homes for 100,000 Homeless Americans Campaign in April 2012 and is aggressively working on activities to house as many vulnerable persons as possible. These activities are coordinated with local HUD funded programs, including rapid re-housing activities.

Rapid Re-Housing Funds will be used to provide staff to provide housing relocation and stabilization services for single adults and provide eligible costs for adults and families to rapidly...
access and stabilize in housing. Staffing fills critical and specific gaps, partnering with existing
resources.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Homeless Prevention $35,835 and Re-allocation Amount $18,202</th>
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</table>

**Activity Description:** ESG funds will be used towards the provision of staff and direct assistance
to provide prevention activities to persons who would otherwise become homeless if not assisted
and meet the income and eligibility guidelines. These funds are distributed to the identified two
agencies: direct assistance utilizing existing staffing at the Department of Human Services and
staffing and direct assistance through The Planning Council, both who receive referrals through a
central call-in service.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Administration $15,306</th>
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</table>

**Activity Description:** The City of Norfolk proposes to use the increased share of allowable
administrative expenses. Until now, the city has utilized the city’s general fund resources to pay
for ESG administrative duties not covered by the traditional ESG cap of 5%. The additional funds
are justified, particularly in light of the changes in reporting; ensuring funded agencies are
adjusting to new regulations, and increased coordination with the Continuum of Care.

<table>
<thead>
<tr>
<th>Total ESG Funding Amount (4 Activities)</th>
<th>2nd ESG Allocation $121,141</th>
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<tbody>
<tr>
<td>Re-allocation Amount $ 36,403</td>
<td>Total ESG Amount $ 164,544</td>
</tr>
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(1) **Corresponding priority needs from recipient’s Annual Action Plan**

**City Response:** The ESG activities proposed in this amendment will address the following priority need
from Norfolk’s FY 2012 Annual Action Plan:

Objective/Outcome: SL-1  Suitable Living Environment
Availability/Accessibility Indicator: Improve and maintain facilities for homeless persons

Objective/Outcome: DH-2  Decent Housing
Availability/Accessibility Indicator: Affordability

The City of Norfolk’s FY 2012-FY2016 Five Year Consolidated Plan identified and established priorities
for allocating CPD funds based on a number of criteria, including:

- Urgency of needs
- Cost efficiency
- Eligibility of activities/programs
- Availability of other funding sources to address specific needs
- Funding program limitations
- Capacity and authority for implementing actions
- Consistency with citywide goals, policies and efforts

Based on the Consolidated Plan Survey, ranking was assigned to the highest needs. It was determined
that assisting homeless people living in emergency or transitional shelters to quickly regain stability in
permanent housing after experiencing a housing crisis and/or homelessness was a high need. For the purposes of allocating Federal and local resources overall priority is given to projects meeting a “High” priority need.

With ESG funds, the city will assist in ending homelessness and ensure that those at risk of homelessness have access to affordable, integrated housing. ESG funds will be used to provide supportive housing options to individuals who fit into the following four categories under the McKinney-Vento Act, as amended by the HEARTH Act in the final rule:

1. Individuals and families who lack a fixed, regular, and adequate nighttime residence and includes a subset for an individual who resided in an emergency shelter or a place not meant for human habitation and who is exiting an institution where he or she temporarily resided; for 90 days or less and was literally homeless prior to entry;
2. individuals and families who will imminently lose their primary nighttime residence;
3. unaccompanied youth and families with children and youth who are defined as homeless under other federal statutes who do not otherwise qualify as homeless under this definition; and
4. individuals and families who are fleeing, or are 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.

(2) Description of the activity, including the number and types of persons to be served

City Response: The city will provide ESG funds for the following eligible activities with the second allocation:

- **Street Outreach:** Initiate a centralized system of outreach and intake for single adults experiencing homelessness. The Street Outreach position will be developed to provide a “Streets to Home” model where this staff member provides the outreach service as well as rapid re-housing assistance. Sixty percent of this position will be funded through Street Outreach, 40 percent will be funded through Rapid Re-Housing;

- **Rapid Re-Housing:** Utilize ESG funds to rapidly re-house homeless persons in and out of shelters in Norfolk to reduce the number of homeless people in the city that include, but not limited to:
  - Chronically homeless persons;
  - Veterans;
  - Families with children; and
  - Homeless/ runaway youth.

- **Homeless Prevention:** Funds will be used to focus on the provision of staff to provide direct assistance and homeless prevention activities to persons who would otherwise become homeless if not assisted. Funds will be distributed to The Planning Council and the Norfolk’s Department of Human Services who both receive referrals through a central call-in service; and

- **Administration Costs:** Costs associated with the administration of the ESG program.

(3) Corresponding standard objective and outcome categories

City Response: The city anticipates utilizing its funds towards ensuring its clients either have availability and accessibility to housing; affordability to housing and services; and are able to sustain their housing through the city’s ESG proposed activities.
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

Outcome/Objective Codes

<table>
<thead>
<tr>
<th>Objective Categories</th>
<th>Availability / Accessibility</th>
<th>Affordability</th>
<th>Sustainability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decent Housing</td>
<td>DH – 1</td>
<td>DH – 2</td>
<td>DH – 3</td>
</tr>
<tr>
<td>Suitable Living Environment</td>
<td>SL – 1</td>
<td>SL – 2</td>
<td>SL – 3</td>
</tr>
<tr>
<td>Economic Opportunities</td>
<td>EO – 1</td>
<td>EO – 2</td>
<td>EO – 3</td>
</tr>
</tbody>
</table>

The city anticipates serving persons who meet the definition of homeless and under the Homeless Prevention category will assist individuals who meet HUD income criteria. The city will provide funds to the following:
- The Planning Council for Homeless Prevention and Rapid Re-Housing;
- Norfolk’s Department of Human Services for Street Outreach, Rapid Re-Housing; and Homeless Prevention.

The city has selected the following target populations for assistance with Rapid Re-Housing services:
- Families;
- Veterans (although Supportive Services to Veterans and their Families (SSVF), if funded, would be the first source of funding for Veterans);
- Recently released formerly incarcerated;
- Disabled individuals; and
- Persons identified as most vulnerable through the 100,000 Homes activities.

It is expected that these ESG activities will assist to leverage other supportive services that include but are not limited to, Permanent Supportive Housing through the Continuum of Care, Shelter Plus Care, PATH, Medicaid, SSVF (if awarded).

(4) Start date and completion date

City Response: The city’s second allocation of FY 2012 ESG funds was included in the city’s FY 2013 RFP process. Upon HUD approval of this Substantial Amendment, agreements will be made effective July 1, 2012, with an expenditure date of June 30, 2013.

(5) ESG and other funding amounts

City Response: The second allocation of the Emergency Solutions Grant will be used for Homeless Prevention, Street Outreach, and Rapid Re-Housing activities for the purpose of regaining stability and diverting individuals/households from Emergency Shelters. In addition, funds will also be used for administrative activities including management, oversight, coordination, monitoring, and evaluation, as well as HMIS.

b. Discussion of Funding Priorities

- Explain why the recipient chose to fund the proposed activities at the amounts specified (recommended: if available, use locally relevant data to support the funding priorities, and explain how the funding priorities will support the national priorities established in Opening Doors: Federal Strategic Plan to Prevent and End Homelessness).

City Response: Homelessness is a concern that impacts the city as a whole. The city continues its support of many homeless shelters and programs that provide comprehensive and coordinated
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

approaches to addressing the problem of homelessness.

Street Outreach:
Provides direct assistance and targeting to those persons who are less likely to end homelessness on their own and engage in mainstream programs without engagement assistance.

Federal Priority: This activity will provide progress for ending chronic homelessness and to identify and target those persons who are most likely to end up in an emergency room, hospital, or jail and connect them to the housing and support they need (Opening Doors – The Federal Plan to End and Prevent Homelessness)

Local Need Data: The numbers of persons sleeping outside remains significant in the City of Norfolk.

- The 2012 Annual Point in Time identified fifty-six (56) persons sleeping outside on a night that there were an additional 108 persons staying in the winter hypothermia shelter.
- The 100,000 Homes Campaign Registry Week in April 2012 interviewed 258 persons in Norfolk who were homeless, of those 86 (33%) of them were determined to be vulnerable.
- Norfolk’s Project Homeless Connect data from September 2011 indicated that of the guests in attendance, 342 were literally homeless and of these, 117 (45%) of these persons also had complicating medical or psychiatric disorders.

<table>
<thead>
<tr>
<th>Of Literal Homeless Guests (N= 342 )</th>
<th>342</th>
</tr>
</thead>
<tbody>
<tr>
<td>Literal Homeless Guests with Major Medical Disorder</td>
<td>155</td>
</tr>
<tr>
<td>Sleeps Outside</td>
<td>107</td>
</tr>
<tr>
<td>Have SSI, SSDI, or Vets Income</td>
<td>45</td>
</tr>
<tr>
<td>No Disability Income or Sustainable Income</td>
<td>108</td>
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<tr>
<td>Don't have regular Medical Care</td>
<td>93</td>
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<tr>
<td>Needs Access to MH services</td>
<td>33</td>
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<tr>
<td>Needs Access to SA Services</td>
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<tr>
<td>Age 60 years or older (36 total)</td>
<td>23</td>
</tr>
<tr>
<td>Veterans</td>
<td>25</td>
</tr>
</tbody>
</table>

Source: Office to End Homelessness, Project Homeless Connect September 2012

Rapid Re-Housing and Homeless Prevention:
Rapid Re-Housing and Homeless Prevention activities are provided to follow the success in Norfolk of the HPRP program and to continue those efforts through the utilization of ESG funds. Although extremely successful in stemming the tide of homelessness during the HPRP program years, there remains a need to retain a level of both of these primary assistance areas.

Federal Priority: This funding works to continue the work that was implemented and enhanced by the HPRP program, transforming the homeless services to a crisis response system that prevents homelessness and rapidly returns people who experience homelessness to stable housing (Opening Doors – The Federal Plan to End and Prevent Homelessness).

Local Need Data: Prevention is a difficult number to capture, but the local assistance programs consistently receive requests for urgent assistance that exceed the capacity of the system. Additionally, all of the single adults and family shelters remain full, serving those who have become homeless. There is also an ongoing demand for shelter beds that cannot be met.
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

- The 2012 Point in Time indicated that there were 566 persons (adults and children) experiencing homelessness on that night.

In the last active quarter of HPRP (October – December 2011) before the spend-down quarter, HPRP prevented or ended homelessness for 108 households. This level of assistance indicated that the need remains in our community.

The city believes that the rapid re-housing activity identified in this amendment will help the city address the following National priorities established in Opening Doors: Federal Strategic Plan to Prevent and End Homelessness:

- **Theme 2:** Increase Access to Stable Affordable Housing
  - Support rental housing subsidies through Federal, State, Local and private resources.

- **Theme 3:** Increase Economic Security
  - Improve access to mainstream programs and services to reduce people’s financial vulnerability to homelessness.

- **Theme 4:** Improve Health and Stability
  - Advance health and housing stability for people experiencing homelessness that have frequent contact with the criminal justice system.

By improving rental assistance to facilitate rapid re-housing, the city will be able to address Theme 2’s priority to *Increase Access to Stable Affordable Housing* for targeted populations.

By supporting housing stability services to facilitate rapid re-housing and homeless prevention, the city will be able to address the Theme 3 priority to *Increase Economic Security*. Housing stability services will identify other mainstream resources, assist households to access these resources and adjust rental assistance based on people's economic security among other possible factors. Assistance by these case managers will help to ensure that housing is located where access to transportation, employment, and social supports will assist to stabilize their economic stability.

The city will address the priority in Theme 4 to Improve Health and Stability by targeting assistance through the 100,000 Homes Initiative to persons who are medically and Psychiatrically vulnerable and who have repeated encounters with hospitals and jails.

- **Identify any obstacles to addressing underserved needs in the community.**

**City Response:** As with many homeless systems across the county, the City of Norfolk lacks sufficient financial resources to address all the needs in the community. Several obstacles are anticipated as we move forward to use ESG funds to reduce homelessness in Norfolk. Lack of adequate funding is at the top of this list as well as affordable housing units for people who have the lowest incomes.

Consistent case management support in the form of aftercare or support offered after housing placement is available and successful for several programs, but this service is not consistently available for families and individuals who are not in Permanent Supportive housing or served through limited in-home support programs. Each of the grantees utilizing ESG for prevention and re-housing will provide follow-up support to those persons assisted with the goal of connecting them to mainstream or other-funded support services to meet their stabilization needs going forward after the ESG attached staff have ended their involvement. The community continues to work towards building a more robust continuum of services that combined HUD-funded and other resources to provide a more comprehensive system of
care. Lessons learned from the HPRP program and new initiatives through 100,000 Homes are helping us to work towards this goal.

c. Detailed Budget

- Include a detailed budget of planned activities and funding levels accounting for the entire second allocation and any reprogrammed funds from the first allocation (may use Table 3 in this Notice).

**City Response:** The Interim Rule requires the City of Norfolk to provide a detailed budget of planned activities and funding levels accounting for the entire second allocation and any re-programmed funds from the first allocation. Please refer to Table 1, Detailed Budget on the next page.
# Emergency Solutions Grant (ESG) Program

## Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

### City of Norfolk – Office of Budget and Grants Management

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**Table 1**

<table>
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<tr>
<th>FY 2012 (PY2011) ESG Detailed Budget Table</th>
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<tr>
<td>First Allocation</td>
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<tr>
<td>Second Allocation</td>
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<tr>
<td>Grant Amount</td>
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<td>Total Admin.</td>
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<tr>
<th>Eligible Activities</th>
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<th>Reprogrammed Amount</th>
<th>Second Allocation</th>
<th>Total Fiscal Year 2012</th>
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**Total Grant Amount:** $355,948.00

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6. Written Standards for Provision of ESG Assistance

City Response: The city is required to include written standards for providing the proposed ESG assistance in this Substantial Amendment as required under 24 CFR 91.220(L)(4)(i) and 24 CFR 576.400(e)(1) and (e)(3). As noted by HUD, the development of comprehensive, coordinated, and effective policies and procedures is a process that takes a substantial amount of time and thought. Consequently, the city has established initial standards for ESG and will continue to develop and refine these standards in the Annual Action Plan as the city and Continuum of Care adapt and further develop strategies for targeting resources, and as new best practices are established. The city will ensure that the following written standards required by HUD in the Interim Rule 575.400 Subpart E(e)2 are maintained or developed if needed to govern the new activity.

Written Standards will include:

- Standard policies and procedures for evaluating individuals’ and families’ eligibility for assistance under ESG;
- Policies and procedures for admission, diversion, referral, and discharge by emergency shelters assisted under ESG, including standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, e.g., 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;
- Policies and procedures for assessing, prioritizing, and reassessing individuals’ and families’ needs for essential services related to emergency shelter;
- Policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers; other homeless assistance providers; and mainstream service and housing providers (see § 576.400(b) and (c) for a list of programs with which ESG-funded activities must be coordinated and integrated to the maximum extent practicable);
- Policies and procedures for determining and prioritizing which eligible families and individuals will receive homelessness prevention assistance and which eligible families and individuals will receive rapid re-housing assistance;
- Standards for determining what percentage or amount of rent and utilities costs each program participant must pay while receiving homelessness prevention or rapid re-housing assistance;
- Standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time; and
- Standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide to a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participant received assistance; or the maximum number of times the program participant may receive assistance.

The City of Norfolk has developed its ESG written standards based upon standards established under its Homeless Prevention and Rapid Re-Housing Program (HPRP).
The city has proposed to work with the CoC to develop common forms, recordkeeping policies, and evaluation tools in order to:

a. Enhance compliance amongst all HUD homeless funding streams;
b. Facilitate audits of ESG/CoC funded programs; and
c. Provide common outcome data and measureable results.

ESG standards have been scaled down in comparison to HPRP since ESG funding is significantly less than HPRP and requires greater targeting of homeless populations and services. These standards are not static and will be changed to address the current conditions of our community. It will be imperative for the city and CoC partners to work together to establish policies, develop creative programming and pursue funding sources that will address the needs to transition populations from vulnerability to self sufficiency.

Individuals and families may access ESG funding through one of the five below methods and the city is in partnership with a local provider has implemented a Central Call-In Line for targeting referrals to one of the five below coordinated front door methodologies:

1. By calling the Norfolk’s Department of Human Services HART Program to be directly assisted or referred to the designated housing support service provider;
2. By calling The Planning Council to be directly assisted or referred to the designated housing support service provider; and
3. By making an appointment with a case manager at the city’s designated housing support service provider;
4. By receiving a referral to the city’s designated housing support service provider from an emergency shelter, transitional living program, or other CoC participating agency service persons residing in the City of Norfolk; or
5. Through outreach services provided by the Norfolk Street Outreach Partnership.

The housing support service provider will complete a pre-screening form with the client. If potential eligibility is established, then the case manager will determine if the client has accessed mainstream benefits, particularly public assistance benefits. Clients who have not accessed these benefits will be assisted with applying for eligible benefits as part of the process and these benefits will be assessed in the determination of the provision of ESG assistance. Upon meeting with the case manager, clients will be required to complete a comprehensive client intake form, bring proof of benefits documentation, and other supporting documentation (i.e., income, lease, eviction notices, etc.) to verify housing status and client eligibility. For those who need assistance with this, staff will assist this process. A common client intake form is already in existence but will be further tailored to provide improved flow in the system. It will be further developed in coordination with the CoC.

The initial screening will determine:

1. If the combined household income is below 30% AMI and if the household has assets that exceed the program asset limit;
2. If the household’s living situation qualifies as either literally homeless or at imminent risk of homelessness;
3. If households that qualify as at-risk of homelessness have one or more additional risk factors which make shelter entry more likely if not assisted. These factors include persons with eviction notices, living currently in a place in which they do not hold a lease, such as doubled up with family or friends, in a hotel/motel or in an institutional environment.

The initial screening also collects certain basic demographic information on the household (HMIS universal data elements) and is used to help qualify the household for other services and to gather information on those seeking assistance for analysis and program refinement.

Households determined initially eligible will receive a full assessment of housing barriers and household resources. Households may be screened out at this point if:

1. The household appears to have other resources and/or housing opportunities that it can access to avoid homelessness; and/or
2. The household has very high or multiple barriers to re-housing and can be referred to another program that would better suit client’s housing situation over the long-term.

All ESG Subrecipients will be provided a set of written minimum standards in their Agreement with the city that include, but are not limited to the following:

- Must follow the new definition of homelessness, and serve only those meeting the definition of homeless;
- Program only allowed to serve those currently on the street or in emergency shelters;
- Must follow HUD Income Criteria for the program (below 30% AMI);
- Clients should pay no more than 30% of their income towards their rent while in the program;
- Must meet with clients receiving assistance at least once per month;
- Must re-evaluate for continued assistance;
- No more than 24 months of assistance can be provided. Assistance should be determined by the case manager each month;
- Require participation in the HMIS;
- Housing Case Management must be focused to include:
  - Monthly Case Management for re-evaluation of the need and level of services;
  - Follow-up for clients exiting the program;
  - Limits on the of financial assistance awarded to a client/household;
  - Programs to provide shallow subsidies;
  - Implementation of Housing First Model;
  - Coordination with mainstream resources (i.e. TANF, Medicaid, Social Security through SOAR, VA (SSVF and HUD-VASH), etc.

The organization(s) selected to administer the city’s Rapid Re-Housing Program is expected to further develop written standards governing:

- Selection policies;
- Case management policies;
- Method of determining assistance levels;
- Method of determining terms of assistance;
- Follow-up policies and protocols; and
- Administrative policies.
The written standards must include:

| a) Standard policies and procedures for evaluating individuals’ and families’ eligibility for assistance under ESG. |

City Response: Individuals and families may access ESG funding through one of the five below methods and the City of Norfolk in partnership with a local provider has implemented a Central Call-In Line for targeting referrals to one of the five below coordinated front door methodologies:

1. By calling the Norfolk’s Department of Human Services HART Program to be directly assisted or referred to the designated housing support service provider;
2. By calling The Planning Council to be directly assisted or referred to the designated housing support service provider; and
3. By making an appointment with a case manager at the city’s designated housing support service provider;
4. By receiving a referral to the city’s designated housing support service provider from an emergency shelter, transitional living program, or other CoC participating agency service persons residing in the City of Norfolk; or
5. Through outreach services provided by the Norfolk Outreach Partnership.

The housing support service provider will complete a pre-screening form with the client. If potential eligibility is established, then the case manager will determine if the client has accessed mainstream benefits, particularly public assistance benefits. Clients who have not accessed these benefits will be assisted with applying for eligible benefits as part of the process and these benefits assessed in the determination of the provision of ESG assistance. Upon meeting with the case manager, clients will be required to complete a comprehensive client intake form, bring proof of benefits documentation, and other supporting documentation (i.e., income, lease, eviction notices, etc.) to verify housing status and client eligibility. For those who need assistance with this, the staff will assist with this process. A common client intake form is already in existence but will be further tailored to provide improved flow in the system. It will be further developed in coordination with the CoC.

The initial screening will determine:

1. If the combined household income is below 30% AMI and if the household has assets that exceed the program asset limit;
2. If the household’s living situation qualifies as either literally homeless or at imminent risk of homelessness;
3. If households that qualify as at-risk of homelessness have one or more additional risk factors which make shelter entry more likely if not assisted. These factors include persons with eviction notices, living currently in a place in which they do not hold a lease, such as doubled up with family or friends, in a hotel/motel or in an institutional environment.

The initial screening also collects certain basic demographic information on the household (HMIS universal data elements) and is used to help qualify the household for other services and to gather information on those seeking assistance for analysis and program refinement. Households determined initially eligible will receive a full assessment of housing barriers and household resources. Households may be screened out at this point if:
1. The household appears to have other resources and/or housing opportunities that it can access to avoid homelessness;

2. The household has very high or multiple barriers to re-housing and can be referred to another program that would better suit client’s housing situation over the long-term.

**b) Policies and procedures for coordination among emergency shelter providers, essential service providers, homelessness prevention and rapid re-housing assistance providers, other homeless assistance providers, and mainstream service and housing providers.**

**City Response:**

1. The primary agency for implementation of the ESG program will begin with the City of Norfolk Office to End Homelessness, Norfolk’s Department of Human Services, and The Planning Council (CoC) through its Norfolk Homeless Consortium. The Consortium meets monthly and has a diverse membership of housing service providers, support service providers, government agencies, and private/public organizations. The Consortium also hosts guest speakers to discuss new initiatives or to address concerns raised by the CoC. The CoC also has subcommittees to bring forth such initiatives such as drafting policies, forms and evaluation tools for review and approval by the Norfolk Homeless Consortium. The Office to End Homelessness along with the CoC will be further consulted to identify later annual ESG funding priorities, recommend programs that meet funding priorities, and participate in audits to help evaluate ESG agency performance.

2. The city’s designated housing services providers will coordinate with referral agencies such as the Office to End Homelessness, the United Way, area homeless shelters, and The Planning Council which links clients in need of housing assistance to other services and shelters.

3. The city will maintain its working relationship with Norfolk’s Department of Human Services. This agency provides a major mainstream benefit resource for long-term housing stability.

4. The city’s designated housing service providers will continue to have strong knowledge and working relationship with social service agencies, employment centers, shelter providers and supportive service programs (i.e., food pantries, transportation, health care, medical, daycare, legal, credit counseling, etc.).

5. The designated housing service providers will continue to develop a strong knowledge and working relationship with other agencies targeting housing services for homeless families and low-income families including but not limited to Shelter Plus Care programs, Supportive Housing programs, Homeless Housing and Assistance programs, Veterans Assistance and Low Income Housing Tax Credit programs, Community Housing Development Organizations and Section 8 programs.

**c) Policies and procedures for determining and prioritizing which eligible families and individuals will receive homelessness prevention assistance and which eligible families and individuals will receive rapid re-housing assistance.**

**City Response:** The City of Norfolk understands that the key to the success of any program is a screening and assessment process, which thoroughly explores the individuals/households situation and pinpoints their unique housing and service needs.

Case workers are responsible for screening and assessing the low-income housing and family needs.
Based on the assessment, individuals/households are referred to housing and services most appropriate to their situations. Under the Homeless Prevention Assistance and Rapid Re-Housing, funds will be available to persons below 30% of Area Median Income (AMI), and are homeless or at risk of becoming homeless. These funds can be used to prevent individuals/households from becoming homeless and/or regain stability in current housing or other permanent housing. Rapid re-housing funding will be available to those who are literally homeless to ultimately move into permanent housing and achieve stability.

**Homeless Prevention**

Eligible clients for homeless prevention services are individuals or families meeting the definition of at-risk of homelessness under 24 CFR 576.2 with household incomes below 30% AMI of HUD’s annual-income limits. Clients receiving homeless prevention assistance must demonstrate that they have no other persons or support systems to help them with maintaining their current home, or prevent them from street homelessness or entering a shelter. Case managers must maintain documentation that demonstrates they connected the client with other mainstream programs to help client sustain permanent housing. Clients receiving more than one month of financial assistance must develop an individual service plan (ISP) in consultation with the case manager. The case manager must maintain documentation of efforts to help obtain employment and/or employment readiness training for persons in household who are able to enter the workforce.

The city has established the following priority populations of homeless prevention clients. These priorities have been established because the population is deemed to have a higher probability of being successfully served, or there is a clear systems delivery gap for a particular population group. It should be noted that these priorities are not meant to preclude other eligible persons from receiving assistance.

The city has established the following priority populations of homeless prevention clients. These priorities have been established because the population is deemed to have a higher probability of being successfully served, or there is a clear systems delivery gap for a particular population group. It should be noted that these priorities are not meant to preclude other eligible persons from receiving assistance.

- Unaccompanied youth under age 18;
- Client has a written eviction notice from landlord or family/friend stating client must vacate premises within 21 days from the date of application for assistance, no subsequent residence has been identified, and no other support systems are available to help client avoid homelessness;
- Client is living in a hotel or motel that is self paid and has a lease with a move in date within 30 days from the date of the application for assistance.

**Rapid Re-Housing**

Eligible clients for rapid re-housing are individuals or families meeting the definition of homelessness under 24 CFR 576.2. In order to ensure ESG funds are the most appropriate source of funding, case managers must document client’s readiness to reside in permanent housing (low demand for housing support services). Clients approved for rapid re-housing services must find a unit that meets rent reasonableness standard and has been inspected for Housing Quality Standards by either the Norfolk Housing Broker Team or has a Certificate of Compliance from the City of Norfolk’s Codes Department within 60 days of client’s approval date for services. Clients receiving more than one month of financial assistance must develop an individual service
plan (ISP) in consultation with the case manager. The case manager must maintain documentation of efforts to help obtain employment and/or employment readiness training for persons in household who are able to enter the workforce. Case managers are also required to assist persons with disabling conditions with applications for disability-related benefits, either directly or through referral to a benefits specialist. Norfolk has a strong SSI/SSDI Outreach Access, and Recovery Program that is working to expand its capacity for new referrals. Partnership with the DAV Chapter 4 provides enhanced access to refer Veterans to be assisted with accessing benefits through the Veterans Administration if eligible.

The city established the following priority populations of rapid re-housing clients. These priorities have been established because the population is deemed to have a higher probability of being successfully served, there is a clear systems delivery gap for a particular population, and it will enhance the continuum’s goal of quickly transitioning homeless persons from shelters to permanent housing. Again it should be noted that these priorities are not meant to preclude other eligible persons from receiving assistance.

- Individual or family living on the street or in an emergency shelter;
- Unaccompanied youth under age 18;
- Client has a written eviction notice from landlord or family/ friend stating client must vacate premises within 14 days from the date of application for assistance, no subsequent residence has been identified, and no other support systems are available to help client avoid homelessness;
- Individual or family fleeting domestic violence and no other support systems are available to help client avoid or end their homelessness.

d) Standards for determining the share of rent and utilities cost that each program participant must pay, if any, while receiving homelessness prevention or rapid re-housing assistance.

City Response: Standards for both homeless prevention and rapid re-housing for determining the share of rent and utilities costs that each program participant must pay, if any, will be based on the following:

- Current Fair Market Rent (FMR) limits;
- Rent reasonableness while taking into account the neighborhood; and
- Minimum habitability standards.

No rental assistance will be made if a client is receiving rental assistance of the same type from another public source for the same time period. A current lease agreement between property manager/owner and tenant (program participant) that indicates term of lease; monthly rent; parties to lease; all residents listed on lease and signed by both parties will be required prior to receiving assistance. Case managers will have to develop a household budget and identify the amount of ESG funds needed to help client maintain permanent housing. For clients receiving ongoing financial assistance, the case manager must develop a plan with the client to contribute up to 30% of household income towards ESG assisted activity. Payments for rental assistance will only be made to a property manager/owner with whom the program participant has entered into a rental agreement.
e) Standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time.

City Response: The ESG-funded program may determine the amount of rental assistance provided, such as “shallow subsidies” (payment of a portion of the rent), payment of 100 percent of the rent charged, or graduated/declining subsidies. The city’s sub-grantees may also set a maximum amount of assistance that a single individual or family may receive from ESG funds, as long as the total amount of assistance that any individual/household receives does not exceed an amount equal to 24 months of rental assistance during any three year period. Again, because the services are customized to the client, clients with higher risk receiving more intensive services, the program has the flexibility to determine the length and graduation of rental assistance.

Subject to the general conditions under 24 CFR 576.103 and 24 CFR 576.104, a program participant may be provided with up to 24 months of rental assistance during any 3-year period. The City of Norfolk had made the following determinations for rental assistance based on funding:

1. Homeless Prevention Rental Assistance is immediate one-time rent assistance for families or individuals that do not exceed the 30% median income guidelines and who are experiencing a crisis. Based on program time-frames and funding levels, high client demands and limited funding availability, assistance may be limited.

2. Rapid Re-Housing Assistance is short-term rental assistance and includes move-in assistance. This program is for individuals/households that do not exceed 30% median income guidelines and who are experiencing homelessness. Based on program time-frames, high client demands and limited funding availability, assistance may be limited.

To maximize client potential to maintain housing, case managers are required to have monthly contact with clients to document client efforts and accomplishments. Case managers have the flexibility to schedule on-site appointments as necessary to ensure client remains accountable with program expectations.

f) Standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participants receives assistance; or the maximum number of times the program participants may receive assistance.

City Response: Please refer to d) and e) responses.

7. Describe the Process for Making Sub-Awards

City Response: The City of Norfolk has administered ESG funds since the original program began in 1986. The process for making sub-awards will be similar to that used over the last 25 years. The City of Norfolk will publish requests for ESG proposals in September/October. Agencies submitting an application will be required to obtain a letter of support from the CoC in support of their proposed project. Competitive applications will be submitted in November and vetted by city departments and agency recommendation in January. In order to ensure compliance with HUD’s obligation period, the city will continue to request Council’s approval to obligate ESG funds by May 2013. The contract will be developed in July 2012 and executed within 60 days of HUD’s Annual Plan approval.

If religious organizations apply and receive funds for ESG, the city realizes that assistance could be
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

provided under this part to a religious organization if the religious organization agrees to provide all eligible activities under this program in an manner that is free from religious influences and in accordance with the following principles:

- It will not discriminate against any employee or applicant for employment on the basis for religion and will not limit employment or give preference in employment to persons on the basis of religion;
- It will not discriminate against any person applying for shelter or any of the eligible activities under this part on the basis of religion and will not limit such housing or other eligible activities or give preference to persons on the basis of religion; and
- It will provide no religious instruction or counseling; conduct no religious worship or services; engage in no religious proselytizing; and exert no other religious influence in the provision of shelter and other eligible activities under this part. Applicants that are primarily religious organizations are encouraged to contact the city for specifics or refer to 24 CFR 576.23.

ESG funds allocated from approval of this Substantial Amendment will be used for the following activities:

- Rapid Re-Housing activities to include relocation and stabilization services, as well as tenant-based rental assistance;
- Homeless Prevention activities to include relocation and stabilization services, as well as tenant-based rental assistance;
- Street Outreach activities; and
- Administration costs related to the above activities.

8. Homeless Participation Requirement

City Response: One of members of the Norfolk Homeless Consortium is formerly homeless. Their participation serves to inform of the homeless perspective, as well as to help the committee direct any changes in homeless policies. The Norfolk’s Continuum of Care and the City of Norfolk are working towards enhancing the input from homeless and formerly homeless participants that would include:

1. Appointing a homeless representative to serve on the Citizen Advisory Group, and
2. Receiving input from the Norfolk Community Services Board’s Consumer Advisory Committee.

9. Performance Standards

The recipient must describe the performance standards for evaluating ESG activities, which must be developed in consultation with the Continuum(s) of Care.

City Response: The city will utilize its experience from its successful implementation of HPRP to evaluate ESG activities. The city shared this framework with the Continuum of Care and will review periodically with the CoC coordinator and the Norfolk Homeless Consortium. Both the City and its subgrantees will utilize its HMIS to monitor performance through the following indicators;

- Number of individuals/households served by outreach, prevention and rapid re-housing activities;
- Exit destinations (temporary and permanent) of individuals/households served;
- Percent of clients served who avoid shelter entry; and
- Length of time served by ESG program.
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

The city’s definition of a successful outcome is:

**Homeless Prevention**
Client avoided homelessness and maintained permanently housed for at least six months from date of last assistance.

**Rapid Re-housing**
Client obtained permanent housing within 60 days from date of approval and maintained permanently housed for at least six months from date of last assistance.

To this end, the following performance standards have been established for the ESG program:

- Emergency shelter documents an average length of stay of less than 60 days;
- At least 60% of emergency shelter clients are successfully transitioned to permanent housing units;
- At least 60% of clients receiving street outreach services will access shelter or housing;
- At least 60% of rapid re-housing clients will obtain and maintain permanent housing;
- At least 60% of homeless prevention clients will maintain permanent housing;
- HMIS data quality reports will achieve an accuracy reporting rate of at least 90%; and
- Subrecipients expend 100% of ESG grant allocations and documents verifiable eligible matching sources.

### 10. Certifications

**City Response:** The ESG certifications are provided in the attached appendices.

**C. Written Standards Required for Recipients Who are Eligible and Decide to use Part of the Second Allocation for Emergency Shelter and Street Outreach Activities.**

1. **If the recipient is a metropolitan city, urban county, or territory: include written standards for providing the proposed assistance, as follows.**

**City Response:** The second allocation has not been allocated to Emergency Shelter but has allocated funds for the Street Outreach activity. Currently, these standards are draft and will undergo review in coordination with the CoC.

**Street Outreach:** Determination of eligibility for Street Outreach is that the person is engaged in the community and living outside or in places not meant for human habitation. The street outreach program may also engage those who are in emergency shelter but only for an interim period and/or have entered from the streets or will be exiting to the streets due to the nature of the shelter stay. Street outreach will work with persons who do not have minor children in their household, but will ensure safe referral to the family central intake system if encountered.

2. **If the recipient is a state, either:**
   (1) Include written standards for providing the proposed assistance or
   (2) Describe the requirements for sub-recipients to establish and implement written standards.

**City Response:** Existing monitoring procedures are sufficient to allow Norfolk to assure compliance with the new requirements. The city has a full-time Grants Management Assistant and a Programs Manager who will act as a compliance monitor, whose focus is solely on ESG programs. The city staff
will review related regulations and conduct site visits as necessary. In addition, throughout the year, the city staff performs desk/remote monitoring functions including thorough review of reimbursement requests for eligibility of expenses, as well as calculating match submitted. Monitoring will be conducted in coordination with the CoC.

**The written standards must include:**

- **a. If funding essential services related to street outreach with second allocation: standards for targeting and providing these services.**

**City Response:** The Street Outreach service will provide services with the following initial standards:

1. Provide literal outreach services in the community at least 60% of the time under this activity.
2. Coordinate outreach services with other members of the Norfolk Street Outreach Partnership.
   a. Establish comprehensive citywide outreach coverage
   b. Focus on “hot-spots” for coverage
   c. Ensure those most vulnerable are assisted; and
   d. Coordinates assistance activities to ensure that those outreached are provided with housing plans, benefit acquisition services, and employment linkages.
3. Ensure that the Street Outreach service develops and coordinates the Central Intake process for single adults.
   a. Develop process to utilize Call Point modality of HMIS to log and track persons outreached and served
   b. Develop unified screening tool for use by all Norfolk Street Outreach Partnership team members collaborating in this activity
4. Ensure that data is provided on outcomes and program effectiveness.

- **b. If funding any emergency shelter activities with second allocation: policies and procedures for admission, diversion, referral and discharge by emergency shelters assisted under ESG, including standards regarding length of stay, if any; and**

**City Response:** No additional funding is provided to emergency shelter activities with the 2nd ESG allocation.

- **Safeguards to meet the safety and shelter needs of special populations and persons with the highest barriers to housing.**

**City Response:** No additional funding is provided to emergency shelter activities with the 2nd ESG allocation.

- **c. If funding essential services related to emergency shelter with second allocation: policies and procedures for assessing, prioritizing, and reassessing individuals’ and families’ needs for essential services related to emergency shelter.**

**City Response:** No additional funding is provided to emergency shelter activities with the 2nd ESG allocation.

- **C. Written standards required for recipients who are eligible and decide to use part of the second allocation of FY 2012 (PY 2011) funds for emergency shelter and street outreach activities.**

1. If the recipient is a metropolitan city, urban county, or territory: include written standards for providing the proposed assistance, as follow.
Emergency Solutions Grant (ESG) Program
Substantial Amendment to FY 2012 (PY 2011) Annual Action Plan

City Response: The city is currently working with the local continuum of care to develop program guidelines that will follow the new ESG guidance provided by HUD. All services and recipients will meet the new standards. This instruction is forthcoming and will be available for HUD review.

D. Requirements for recipients who plan to use the risk factor under paragraph (1)(iii)(G) of the “at risk of homelessness” definition

1. If recipient plans to serve persons “at risk of homelessness,” based on the risk factor “otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness,” describe specific characteristics associated with instability and increased risk of homelessness.

City Response: The city will issue instructions to the providers to ensure that any ESG funds are aligned with the ESG rules and the HEARTH Act definitions.

The city does not plan to use, nor allow its ESG Subrecipients to use, the risk factor in 24 CFR 576.2, under paragraph (1)(iii)(g) of the “at risk of homelessness” definition: “otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness”. Given that the small number of available funds, the city will focus on those who are living in shelters, who will imminently be homeless, or identified by homeless outreach personnel as being on the street.

E. Requirements for Optional Changes to the FY 2011 Annual Action Plan

1. Centralized or Coordinated Assessment System

If the recipient’s jurisdiction, or a portion of the recipient’s jurisdiction, currently has a centralized or coordinated assessment system and the recipient or subrecipients utilize the centralized or coordinated assessment system, the recipient should describe the assessment system in the substantial amendment.

City Response: The City of Norfolk currently has an existing Central Intake system for families with minor children. The initiation of the Norfolk Street Outreach Partnership, with the foundation of the Street outreach staff member in this amendment, will design and develop the outreach-oriented Centralized process for single adults. Each point of intake conducts an assessment of the individual and/or family to determine the specific strengths and needs of the case.

Although the development of this process is built into this amendment, the final design of this process will occur through a collaborative discussion between the City of Norfolk Office to End Homelessness, the Norfolk Continuum of Care, the Department of Human Services, and the partners on the collaborative.

2. Monitoring

If existing monitoring procedures are not sufficient to allow recipients to monitor compliance with the new requirements, HUD encourages recipients to update their monitoring standards and procedures in the process of submitting this substantial amendment. This should address appropriate levels of staffing.

City Response: Existing monitoring procedures are sufficient to allow Norfolk to assure compliance with the new requirements. The city has a full-time Grants Management Assistant and
a Programs Manager who will act as a compliance monitor. City staff will continually review related regulations and conduct site visits as necessary. In addition, throughout the year, the city staff performs desk/remote monitoring functions including thorough review of reimbursement requests for eligibility of expenses, as well as calculating matching funds submitted. The city will engage the CoC in a process to align monitoring of ESG-funded providers.

All sub-grantees are monitored for regulatory compliance. Desk audits are performed with each payment request and on-site monitoring visits are conducted at a minimum, annually, and more frequently if warranted. Technical assistance is available to each sub-grantee, as needed. The city’s monitoring procedures are as follows:

- **On-site visit to review project descriptions, budget, status, eligibility, and accomplishments** – City staff requests updated data regarding the project, i.e., revised budget, beneficiary numbers and outcomes (based on significant differences between the amount of funds requested and the amount actually allocated).

- **Desk audit off each draw request before processing** – City staff thoroughly reviews all sub-grantee payment requests, which must include supporting documentation. Discrepancies or inconsistencies are communicated to the sub-grantee for explanation or correction before payment is made.

- **On-site visits** – City staff thoroughly reviews all sub-grantee payment requests. Repeated errors or failure to meet goals and objectives in a timely manner prompt city staff to schedule an onsite visit outside the normal annual monitoring review. Sub-grantees whose monitoring visits necessitate corrective action or follow up will receive a letter within 30 days of the visit detailing the specific corrective action required.

- **Corrective action follow up, if needed** – The corrective action is designed to prevent the continuation of the identified deficiency, to mitigate any adverse effects of consequences of the deficiency, and to prevent a reoccurrence of the same or similar deficiency. Regarding follow up action, the city’s protocol is as follows:

  - **Certification by written correspondence of final outcome of program service** – When the review indicates satisfactory corrective action, email or letter will be sent stating that the finding is closed.

  - **Documentation** – All correspondence pertaining to a sub-grantee is retained in the sub-grantee’s project folder. A monitoring checklist is completed during the visit and its’ contents are transferred to a monitoring letter to be sent to sub-grantee for their records and is retained in the sub-grantee’s project folder. The city keeps a copy of any correspondence relating to project.

New monitoring checklists are being developed to monitor the activities funded under Rapid Re-Housing and will include, but not limited to, the following:

- Termination of assistance follows established policies;
- Sub-grantee documents that units meet minimum habitability standards;
- Rent reasonableness;
- Rent within FMR; and
- No rental assistance to households receiving rental assistance from another public source.
Grant Fund Commitments

Table 1: Declaration of FY 2010 Grant Fund Commitments

The table identifies the amount allocated in FY 2011 (PY 2010) to eligible activities, as related to this substantial amendment.

<table>
<thead>
<tr>
<th>Activity Type</th>
<th>Obligated Amount</th>
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<tbody>
<tr>
<td>Homeless Assistance:</td>
<td>178,761.00</td>
</tr>
<tr>
<td>Homeless Prevention:</td>
<td>36,153.00</td>
</tr>
<tr>
<td>Administrative Activities</td>
<td>11,311.00</td>
</tr>
<tr>
<td><strong>Total FY 2011-2012 Award</strong></td>
<td><strong>$226,225.00</strong></td>
</tr>
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</table>
PUBLIC COMMENT
PERIOD
NOTIFICATION
Legal Notices of Substantial Amendment

EMERGENCY SOLUTIONS GRANT SUBSTANTIAL AMENDMENT 30-DAY PUBLIC COMMENT PERIOD The purpose of this notice is to provide an opportunity for public comment on an amendment to the City of Norfolk EMERGENCY SOLUTIONS GRANT SUBSTANTIAL AMENDMENT 30-DAY PUBLIC COMMENT PERIOD The purpose of this notice is to provide an opportunity for public comment on an amendment to the City of Norfolk's FY 2012 Annual Plan to revise allocations for the Emergency Shelter Grant (ESG) Program. The Annual Plan for FY 2012 was approved by the City of Norfolk's City Council on May 17, 2011. The provision of this opportunity for comment is in accordance with the City's Citizen Participation Plan for substantial amendments to the Annual Plan. SUBSTANTIAL AMENDMENT INFORMATION The City of Norfolk received notification that its FY 2012 ESG funding would be allocated in two phases. Phase I funding in the amount of $227,807 has already been approved by HUD for the program year beginning July 1, 2011. Phase II funding in the amount of $128,141 is being allocated through a substantial amendment to the FY2012 Annual Plan. For more detailed budget information, regarding this substantial amendment, please visit www.norfolk.gov/grant. Citizens have thirty days to review and comment on the Substantial Amendment. The review and comment period will conclude on May 14, 2012. Written comments can be sent to the attention of Kimberley Pierce, Division Head for Grants Management at the City of Norfolk, 810 Union Street, Room 607, Norfolk, VA 23510. The deadline for receipt of written comments on the amendment is 5 p.m. on May 14, 2012. For additional information on the amendment, contact the Division of Grants Management at 757-664-4080, TTY 711. EHO/EEO The Norfolk Planning Commission will hold a public hearing at 2:30 p.m. on Thursday, April 26, 2012, on the City's ESG substantial amendment. The public hearing will be held in City Council chambers, 11th floor of City Hall. All persons wishing to speak at the public hearing may register in advance by appearing at the facility 30 minutes before the scheduled public hearing. VP April 15, 2012 22992151 Published - The Virginian-Pilot: 04/15/2012
Table 3C
Consolidated Plan Listing of Projects

<table>
<thead>
<tr>
<th>Jurisdiction’s Name:</th>
<th>City of Norfolk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority Need:</td>
<td>N/A</td>
</tr>
<tr>
<td>Project Title:</td>
<td>ESG – General ESG Administration</td>
</tr>
<tr>
<td>Description</td>
<td>Funding will provide staffing and overall program management, coordination, monitoring, and evaluation for the ESG program.</td>
</tr>
<tr>
<td>Objective category:</td>
<td>N/A</td>
</tr>
<tr>
<td>Outcome category:</td>
<td>N/A</td>
</tr>
<tr>
<td>Location/Target Area:</td>
<td>City of Norfolk, 810 Union Street, Norfolk, VA 23510</td>
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<table>
<thead>
<tr>
<th>Objective Number</th>
<th>Project ID</th>
<th>Funding Sources:</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>ESG - Admin</td>
<td>ESG Administration $15,306</td>
</tr>
<tr>
<td>HUD Matrix Code Administration - 21A</td>
<td>HUD Citation N/A</td>
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</tr>
<tr>
<td>Type of Recipient Grantee</td>
<td>CDBG National Objective N/A</td>
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</tr>
<tr>
<td>Start Date (mm/dd/yyyy)</td>
<td>Completion Date (mm/dd/yyyy) 06/30/2013</td>
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</tr>
<tr>
<td>Performance Indicator N/A</td>
<td>Annual Units N/A</td>
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<td>Local ID</td>
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<td>Total</td>
<td>$15,306</td>
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The primary purpose of the project is to help: □ the Homeless □ Persons with HIV/AIDS □ Persons with Disabilities □ Public Housing Needs
Table 3C
Consolidated Plan Listing of Projects

<table>
<thead>
<tr>
<th>Jurisdiction’s Name:</th>
<th>City of Norfolk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority Need:</td>
<td>High</td>
</tr>
<tr>
<td>Project Title:</td>
<td>Street Outreach</td>
</tr>
<tr>
<td>Description</td>
<td>Funds will be utilized to cover costs related to essential services for unsheltered persons (including emergency health or mental health care, engagement, transportation, case management, and services for special populations.)</td>
</tr>
</tbody>
</table>

Objective category: [ ] Suitable Living Environment [ ] Decent Housing [ ] Economic Opportunity
Outcome category: [ ] Availability/Accessibility [ ] Affordability [ ] Sustainability

Location/Target Area: Citywide

<table>
<thead>
<tr>
<th>Objective Number</th>
<th>Project ID</th>
<th>Funding Sources:</th>
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<tr>
<td>SL - 1</td>
<td>ESG - Street Outreach</td>
<td>ESG - Street Outreach $31,200</td>
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<thead>
<tr>
<th>HUD Matrix Code</th>
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<tr>
<td>Street Outreach</td>
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<table>
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<tr>
<th>Type of Recipient</th>
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<td>Sub-Grantee</td>
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<tr>
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<th>Completion Date (mm/dd/yyyy)</th>
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<td>07/01/2012</td>
<td>06/30/2014</td>
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<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>Number of individuals</th>
<th>Annual Units</th>
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<tbody>
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<td>Number of individuals</td>
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<tr>
<th>Local ID</th>
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The primary purpose of the project is to help: [ ] the Homeless [ ] Persons with HIV/AIDS [ ] Persons with Disabilities [ ] Public Housing Needs
Table 3C
Consolidated Plan Listing of Projects

<table>
<thead>
<tr>
<th>Jurisdiction’s Name:</th>
<th>City of Norfolk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority Need:</td>
<td>High</td>
</tr>
<tr>
<td>Project Title:</td>
<td>Rapid Re-housing</td>
</tr>
</tbody>
</table>
| Description          | Rapid Re-Housing funding will be utilized to help individuals/households who are homeless, meaning those who qualify under paragraph (1) of the homeless definition.
|                      | Individuals/households must have an income at or below 30% of Area Median Income (AMI) limits. ESG funds will be used for housing relocation and stabilization services, short and medium term tenant-based rental assistance, and for staff salaries. |

Objective category:  
- Suitable Living Environment
- Decent Housing
- Economic Opportunity

Outcome category:   
- Availability/Accessibility
- Affordability
- Sustainability

Location/Target Area:  
- Citywide

<table>
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<tr>
<th>Objective Number</th>
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<tbody>
<tr>
<td>DH-2</td>
<td>ESG – Rapid Re-Housing</td>
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<th>HUD Matrix Code</th>
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<td>Re-Housing</td>
<td>FR-5474-I-01</td>
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<table>
<thead>
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<th>Type of Recipient Sub-Grantee</th>
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<tbody>
<tr>
<td>ESG</td>
<td>LMC</td>
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<thead>
<tr>
<th>Start Date (mm/dd/yyyy)</th>
<th>Completion Date (mm/dd/yyyy)</th>
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<tbody>
<tr>
<td>07/01/2012</td>
<td>06/30/2014</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>Number of individuals/families receiving assistance; Number placed in housing</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>40</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Local ID</th>
<th>Units Upon Completion</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>40</td>
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</table>

<table>
<thead>
<tr>
<th>Funding Sources:</th>
</tr>
</thead>
<tbody>
<tr>
<td>ESG - Tenant Based Rental Assistance</td>
</tr>
<tr>
<td>ESG - Housing Relocation &amp; Stabilization Services</td>
</tr>
</tbody>
</table>

Total $64,001

The primary purpose of the project is to help: ☑ the Homeless  □ Persons with HIV/AIDS  □ Persons with Disabilities  □ Public Housing Needs
Table 3C  
Consolidated Plan Listing of Projects

<table>
<thead>
<tr>
<th>Jurisdiction’s Name:</th>
<th>City of Norfolk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority Need:</td>
<td>High</td>
</tr>
<tr>
<td>Project Title:</td>
<td>ESG - Homeless Prevention – Tenant Based Rental Assistance</td>
</tr>
</tbody>
</table>

**Description**
Funds will be utilized towards short- or medium-term rental assistance for those who are at-risk of becoming homeless, meaning those who qualify under paragraph (2), (3), and (4) of the homeless definition or those who qualify as at risk of homelessness. ESG funds will be used for housing relocation and staff salaries (direct cost).

**Objective category:**
- [ ] Suitable Living Environment  
- [x] Decent Housing  
- [ ] Economic Opportunity

**Outcome category:**
- [ ] Availability/Accessibility  
- [x] Affordability  
- [ ] Sustainability

**Location/Target Area:**
Citywide

<table>
<thead>
<tr>
<th>Objective Number</th>
<th>Project ID</th>
<th>Funding Sources:</th>
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<tbody>
<tr>
<td>DH - 2</td>
<td>ESG - Homeless Prevention</td>
<td>ESG - Tenant Based Rental Assistance $35,835</td>
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<td>HUD Matrix Code</td>
<td>HUD Citation</td>
<td>ESG - Housing Relocation &amp; Stabilization Services $18,202</td>
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<td>Homeless Prevention</td>
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<td>Type of Recipient</td>
<td>Completion Date</td>
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<td>Sub-Grantee</td>
<td>(mm/dd/yyyy)</td>
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<td></td>
<td>07/01/2012</td>
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</tr>
<tr>
<td>Start Date (mm/dd/yyyy)</td>
<td>06/30/2014</td>
<td></td>
</tr>
<tr>
<td>Performance Indicator</td>
<td>Annual Units</td>
<td></td>
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<tr>
<td>Number of individuals/ families receiving assistance; Number placed in housing unit</td>
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<tr>
<td>Local ID</td>
<td>Units Upon Completion</td>
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</tr>
<tr>
<td></td>
<td>40</td>
<td></td>
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</tbody>
</table>

The primary purpose of the project is to help: [x] the Homeless  
[ ] Persons with HIV/AIDS  
[ ] Persons with Disabilities  
[ ] Public Housing Needs
CERTIFICATIONS
The SF 424 is part of the CPMP Annual Action Plan. SF 424 form fields are included in this document. Grantee information is linked from the ICPMP.xls document of the CPMP tool.

**SF 424**

Complete the fillable fields (blue cells) in the table below. The other items are pre-filled with values from the Grantee Information Worksheet.

<table>
<thead>
<tr>
<th>Date Received by State</th>
<th>Date Received by HUD</th>
<th>Type of Submission</th>
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<tbody>
<tr>
<td>5/16/2012</td>
<td>S11MC510002</td>
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<td></td>
<td>State Identifier</td>
<td>Application</td>
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<td></td>
<td>Federal Identifier</td>
<td>Pre-application</td>
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<tr>
<td></td>
<td></td>
<td>□ Construction</td>
</tr>
<tr>
<td></td>
<td></td>
<td>□ Construction</td>
</tr>
<tr>
<td></td>
<td></td>
<td>X Non Construction</td>
</tr>
</tbody>
</table>

**Applicant Information**

City of Norfolk  
810 Union Street  
Suite 1100  
Norfolk, VA 23510  
Virginia U.S.A.  

UG Code - VA511116 NORFOLK  
Organizational DUNS - 074740069  
Organizational Unit  
Office of Budget and Grants Management  
Division of Grants Management

**Employer Identification Number (EIN):**  
54-6001455  
Program Year Start Date (July 1, 2012)

**Applicant Type:**

Specify Other Type if necessary:

**Local Government: City**

**Specify Other Type**

**Program Funding**

Catalogue of Federal Domestic Assistance Numbers; Descriptive Title of Applicant Project(s); Areas Affected by Project(s) (cities, Counties, localities etc.); Estimated Funding

**Community Development Block Grant**  
14.218 Entitlement Grant

CDBG Project Titles  
Description of Areas Affected by CDBG Project(s)

$CDBG Grant Amount  
$Additional HUD Grant(s) Leveraged  
Describe

$Additional Federal Funds Leveraged  
$Additional State Funds Leveraged

$Locally Leveraged Funds  
$Grantee Funds Leveraged

$Anticipated Program Income  
Other (Describe)

Total Funds Leveraged for CDBG-based Project(s)

**Home Investment Partnerships Program**  
14.239 HOME

HOME Project Titles  
Description of Areas Affected by HOME Project(s)

$HOME Grant Amount  
$Additional HUD Grant(s) Leveraged  
Describe

$Additional Federal Funds Leveraged  
$Additional State Funds Leveraged

$Locally Leveraged Funds  
$Grantee Funds Leveraged

$Anticipated Program Income  
Other (Describe)

Total Funds Leveraged for HOME-based Project(s)
<table>
<thead>
<tr>
<th>Housing Opportunities for People with AIDS</th>
<th>14.241 HOPWA</th>
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<tbody>
<tr>
<td>HOPWA Project Titles</td>
<td>Description of Areas Affected by HOPWA Project(s)</td>
</tr>
<tr>
<td>$HOPWA Grant Amount: $Additional HUD Grant(s) Leveraged Describe</td>
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<tr>
<td>$Additional Federal Funds Leveraged</td>
<td>$Additional State Funds Leveraged</td>
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<tr>
<td>$Locally Leveraged Funds</td>
<td>$Grantee Funds Leveraged</td>
</tr>
<tr>
<td>$Anticipated Program Income</td>
<td>Other (Describe)</td>
</tr>
<tr>
<td>Total Funds Leveraged 'or HOPWA-based Project(s)</td>
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</tbody>
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<thead>
<tr>
<th>Emergency Shelter Grants Program</th>
<th>14.231 ESG</th>
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<tbody>
<tr>
<td>ESG Project Titles</td>
<td>Description of Areas Affected by ESG Project(s)</td>
</tr>
<tr>
<td>$ESG Grant Amount – Phase II Allocation - $128,141</td>
<td>$Additional HUD Grant(s) Leveraged Describe</td>
</tr>
<tr>
<td>$Additional Federal Funds Leveraged</td>
<td>$Additional State Funds Leveraged</td>
</tr>
<tr>
<td>$Locally Leveraged Funds</td>
<td>$Grantee Funds Leveraged</td>
</tr>
<tr>
<td>$Anticipated Program Income</td>
<td>Other (Describe)</td>
</tr>
<tr>
<td>Total Funds Leveraged for ESG-based Project(s) – Phase II Allocation - $128,141</td>
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</table>

<table>
<thead>
<tr>
<th>Congressional Districts of: Applicant Districts 2nd and 3rd</th>
<th>Project Districts Virginia 2nd and 3rd</th>
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</thead>
<tbody>
<tr>
<td>Is application subject to review by state Executive Order 12372 Process?</td>
<td>Yes</td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Person to be contacted regarding this application</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kimberley M. Pierce</td>
</tr>
<tr>
<td>Division Head, Grants Management 757-604-4779 757-441-2234</td>
</tr>
<tr>
<td><a href="mailto:kimberley.pierce@norfolk.gov">kimberley.pierce@norfolk.gov</a> <a href="http://www.norfolk.gov/Grants/">http://www.norfolk.gov/Grants/</a> Other Contact</td>
</tr>
</tbody>
</table>

Signature of Authorized Representative  
Signature  

Date Signed  
5/11/12.
CERTIFICATIONS

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

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

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

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

2. Establishing an ongoing drug-free awareness program to inform employees about -

   (a) The dangers of drug abuse in the workplace;
   (b) The grantee's policy of maintaining a drug-free workplace;
   (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
   (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;

4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -

   (a) Abide by the terms of the statement; and
   (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted -

(a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

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-L.L.L., "Disclosure Form to Report Lobbying," in accordance with its instructions; and

3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

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

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

Signature/Authorized Official  
Date  
Title
ESG Certifications

The Emergency Solutions Grants Program Recipient certifies that:

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

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

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

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

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

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

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

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

**Discharge Policy** – The jurisdiction will establish and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from
publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

[Signature/Authorized Official]

[City Manager]

[Date] 5/11/12
APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

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

B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.

2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).

5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).

6. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:
Place of Performance (Street address, city, county, state, zip code)

City of Norfolk, City Hall Bldg., 810 Union Street, Bldg. 1
Norfolk, VA 23510

Check ✓ if there are workplaces on file that are not identified here.

This information with regard to the drug-free workplace is required by 24 CFR part 21.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).
2011 ESG Grant Agreement
Subtitle B of Title IV of the McKinney-Vento Homeless Assistance Act, 42 USC 11371 et seq.

Grant Number: E11MC510002

1. Name of Grantee (as shown in Item 6 of Standard Form 424)
   CITY OF NORFOLK

2. Grantee's 9-digit Tax ID Number
   546001455

3. Grantee's DUNS Number:
   074740069

4. Grantee's Complete Address (as shown in Item 5 of Standard Form 424)
   810 UNION STREET, SUITE 1100
   NORFOLK, VA 23510

Grant Agreement: This Grant Agreement between the Department of Housing and Urban Development (HUD) and the above named Grantee is made pursuant to the authority of Subtitle B of Title IV of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11371 et seq.). The Grantee's submissions under 24 CFR Part 91 that pertain to this Grant, the HUD regulations at 24 CFR Part 576 (as now in effect and as may be amended from time to time), section 100261 of the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141), and any special conditions attached to this Grant Agreement constitute part of this Grant Agreement. Subject to the provisions of this Grant Agreement, HUD will make the Grant available to the Grantee upon execution of the Grant Agreement by the Grantee and HUD. The Grant may be used to pay costs incurred after the date specified in Item 8 below, provided the activities to which the costs are related are carried out in compliance with all applicable requirements. The Grantee agrees to assume all of the responsibilities with respect to environmental review, decision making, and action required under the HUD regulations in 24 CFR Part 58. The Grantee shall also comply with the Office of Management and Budget requirements for Universal Identifier and Central Contractor Registration and Reporting Submission and Executive Compensation Information at 2 CFR Part 25, Appendix A to Part 25—Award Term, and 2 CFR Part 170, Appendix A to Part 170—Award Term.

5. Special Conditions (check one):
   [ ] Revised
   [ ] Attached

6a. Date HUD Received Grantee's Annual Submission under 24 CFR Part 91 (mm/dd/yyyy)
    05/15/2012

6b. Date Grantee Notified: (mm/dd/yyyy)

7. Date of Start of Grantee's Program Year (mm/dd/yyyy)
    07/01/2011

8. Date Use of Funds May Begin (the later of the date in 6a and the date in 7) (mm/dd/yyyy)
    05/15/2012

9. Funding Approval (check one):
   [ ] Original
   [x] Amendment

10. Amount of Emergency Solutions Grant: $128,141

10a. Funds Reserved for this Grantee $128,141

10b. Funds Now Being Approved $128,141

10c. Reserve to be Canceled (10a minus 10b) $0.0

11. Name and Complete Address of Department Designated to Administer the Grant
    Grants Management Division
    810 Union Street, Room 607
    Norfolk, VA 23510

11a. Name of Authorized Official
    Sabrina Joy-Hogg

11b. Title
    Director

11e. Signature

11f. Fax Number (757) 604-4283

11g. E-mail Address
    sabrina.joy-hogg@nvd.org

12. U.S. Department of Housing and Urban Development
    Richmond Field Office

12a. Name of Authorized Official
    Ronnie J. Legette

12b. Title
    CPD Director

12c. Signature

12d. Date (mm/dd/yyyy)
    AUG 2 2012

13. Grantee Name
    City of Norfolk

13a. Name of Authorized Official
    Marcus D. Jones

13b. Title
    City Manager

13c. Signature

13d. Date (mm/dd/yyyy)
    8/19/12