

APPLICATION FOR
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ENTITLEMENT PROGRAM
-2010 Program Year Funding -

ACTIVITY NAME: Second Step Transitional Housing Initiative

APPLICANT: Shelters of Saratoga, Inc.

MAILING ADDRESS: P.O. Box 3089, 14 Walworth Street

Saratoga Springs, NY ZIP: 12866

PHONE: 581-1097 FAX: 581-8735 EMAIL: sosed@nycap.rr.com

CONTACT PERSON: JOHN PENZER TITLE: EXECUTIVE DIRECTOR

APPLICANT (SELECT 1): City Department Private non-profit organization Other Public Agency

(List Dept.)

14-1758441

(List Federal ID#)

(Specify)

003900896

(DUNS #)

NATIONAL OBJECTIVE (select 1):

"Benefit persons of Low/moderate Income"

"Address slum/blight Conditions"

"Urgent CD Need"

L/M Income Area Benefits

"N/A" Slum/blighted area

"N/A" Urgent Need

L/M Income Limited Clientele Activities

Slum Blighted Spot Basis

L/M Income Housing Activities

N/A Urban Renewal Completion

L/M Income Job Creation/Retention

REQUESTED ENTITLEMENT FUNDING: \$181,500.00

Funding Leveraged from Other Sources: \$ 39,000.00

Total Activity Cost: \$ 215,500.00

Proposal Abstract - please provide a brief overview of your proposal including the number of persons that will be served with this grant in the space below:

This application seeks funding for the following activities related to the construction of a 10 bed transitional housing residence adjacent to the Shelters of Saratoga emergency homeless shelter on Walworth Street in Saratoga Springs:

- Architectural/Engineering Services including site design, architectural design, structural engineering and HVAC, plumbing and electrical engineering.
- New construction substructure including standard foundations, slab on grade, basement excavation and basement walls
- New construction shell including floor construction, roof construction, exterior walls, exterior windows, exterior doors and roof coverings.


(Authorized Signature)

Executive Director

(Title)

John Penzer

(Typed or Printed Name)

January 29, 2010

(Date)

Please respond in writing to each of the following (add additional pages as necessary):

1. ACTIVITY DESCRIPTION

- A) Activity is Expanded – The project was “jump started” by the City of Saratoga Springs’ 2009 donation of property immediately adjacent to the existing emergency shelter and Community Development Block Grant funding that was used for preliminary site development and architectural planning. That planning identified the need for an 8,000 square foot structure to be connected to the existing shelter located at 14 Walworth Street. The proposed activity benefits from the identification and ongoing involvement of an architect who designed the current SOS emergency shelter 10 years ago, builds on his preliminary efforts to define the size and cost of additionally needed space, and takes advantage of Saratoga Leadership’s commitment to develop a capital campaign to fund SOS’ new construction.

In August 2009, SOS was presented with the unanticipated opportunity to acquire 20 Walworth Street, a 2,000 square foot, two apartment structure adjacent to the aforementioned donated land. That acquisition, to be completed in February 2010, reduces the previously identified scope of the new construction. It also benefits the project by providing SOS with the opportunity to conduct a four person pilot program. The proposed new construction will connect to both the SOS emergency shelter and 20 Walworth Street incorporating a design that will be consistent with both the existing shelter and 20 Walworth St.

- B) Community Need - The Second Step Transitional Housing Initiative represents an unduplicated effort to directly address identified sources of homelessness recurrence in our community. Currently, the prevalence of homelessness in Saratoga County and the designation of our existing shelter as “emergency housing” necessitates the institution of a sixty day maximum length of stay. Case management documentation has shown that it is not economically viable for individuals to seek and find employment, and to accumulate sufficient savings and property to effectively transition into and maintain permanent housing within this time period. Furthermore, sixty days of social and behavioral support is often not sufficient to cement changes necessary for long term success. Given that the existing shelter is designated “emergency housing” it is not possible for us to extend the current maximum stay timeframe because maintaining the residency of stabilizing individuals would necessitate the turning away of others who meet the most basic criteria of homelessness and are literally seeking shelter from the streets.

Unfortunately, premature displacement can and does initiate destabilization. While individuals discharged from the emergency shelter intend to continue their initiated progression toward permanent housing, several factors including financial and vocational debilities, the inadequacies of available temporary housing and the well-documented shortage of affordable housing in Saratoga County impact their chances of success and deposit them instead firmly in the cycle of recidivism.

At this time there are currently no non targeted transitional housing beds in Saratoga County. The proposed SOS Second Step Transitional Housing Initiative will compliment currently available transitional beds (exclusively for veterans and victims of domestic violence) and supplement the well documented scarcity of affordable housing in our community. Further, the project constitutes an unduplicated cost-effective solution

that both directly addresses identified primary sources of recidivism, and bridges the gap between the existing emergency shelter and independent permanent housing.

- C) Who Will Benefit - When completed, the project will provide up to ten (10) stabilized, low-moderate income "limited clientele" individuals with housing and supportive services for up to 18 months (4,380 'beds of service') annually). During this time, program participants will work with case management to coauthor and implement individualized self sufficiency plans that include financial, vocational and personal wellness stratagems. Individuals can be referred directly from the case management program at the emergency shelter.
- D) Performance Goals - The principal goal to be achieved with CDBG support is the April 2012 occupancy of newly constructed transitional housing initiative that consists of transitional apartments, administrative space and designated community space.

During the 12 months beginning in July 2010 activities conducted under the auspices of CDBG funding will result in the completion of architectural/engineering services related to the new construction, the initiation of construction (substructure and shell), the implementation of a capital campaign designed to secure additional funding and the development of policies and procedures for effective operation.

- E) Timeframe - The activities to be undertaken and the timetable for each is as follows:

• Capital Campaign Implementation	04/11
• State Historical Preservation Office	05/10
• Stormwater Prevention Pollution Report	08/10
• Hydrology Study to develop a site drainage and grading plan	08/10
• Preparation of Construction Documents (include drawings and specifications for all construction trades/specialties	09/10
• Detailed Cost Estimate	10/10
• Building Permit secured	11/10
• Solicitation of bids	01/11
• Contractor Selection	02/11
• Site Work	04/11
• Groundbreaking	04/11
• New construction substructure including foundations, slab on grade, and basement walls	06/11
• New construction shell including floor, roof, exterior walls, windows, doors, and roof finish	08/11
• Finishes and furnishings	09/11
• Ribbon cutting and occupancy	10/11
• Capital Campaign Implementation	04/11

- F) Approvals - Project requires additional local approval including zoning, variances, license, building permits and design review (including neighborhood comment). We do not anticipate that there are environmental or historic concerns that would require approvals by state agencies. Site Control (conditions, improvements, construction) will be provided by the project General Contractor and overseen by the organization.

2. ORGANIZATIONAL CAPACITY

A) Overview - Shelters of Saratoga, a 501(c) (3) organization established in 1997, and governed by a Board of Directors owns and operates the only adult emergency homeless shelter in Warren, Washington and Saratoga counties and provides shelter, advocacy and referral services for the homeless and those at risk of homelessness. Shelters of Saratoga is also dedicated to developing and maintaining affordable housing opportunities for low-to moderate-income homeowners and individuals. The Second Step Transitional Housing Initiative is consistent with SOS' 2009-2011 strategic plan that commits to "*developing a plan for financing, developing and operating a transitional housing program*". SOS Board of Directors is comprised of the following individuals who reside in the greater Saratoga Springs area:

Mr.	Joseph	Baumann	Saratoga Springs
Mr.	Daniel	Bobear	Greenfield Center
Mr.	John	Breuggeman	Saratoga Springs
Mrs.	Rebecca	Cronin	Greenfield Center
Dr.	Stephen	Dubansky	Saratoga Springs
Mrs.	Karen	Foster	Saratoga Springs
Mr.	James	Frey	Ballston Spa
Ms.	Mary Kate	Hallahan	Saratoga Springs
Mr.	Edwin	Hammond, Jr.	Saratoga Springs
Ms.	Sherry	Hoffman	Saratoga Springs
Ms.	Amy	Mitchell	Saratoga Springs
Mr.	Kelly	Reinhart	Greenfield Center
Ms.	Katrina	Smith	Gansevoort

SOS has received funds from the City of Saratoga Springs on the following prior occasions:

<u>Year</u>	<u>Source</u>	<u>Purpose</u>	<u>Amount</u>
2002	CDBG	Owner occupied moderate rehabilitation	\$14,000
2003	CDBG	128 Grand Avenue acquisition	\$72,500
2003	CDBG	Owner occupied home emergency repair	\$43,000
2004	CDBG	Owner occupied moderate rehabilitation	\$14,000
2009	CDBG	Owner occupied moderate rehabilitation	\$15,200

B) Experience

SOS has previously undertaken three major capital projects.

- The 14 Walworth Street facility that was constructed in 1998 serves as the site for emergency housing of adult homeless individuals and is also the location of SOS' administrative operations.
- In 2002 SOS completely rebuilt the dilapidated structure at 112 Washington Street to create three apartments for low-income elderly individuals.
- In 2006 we completed the reconstruction of a deserted, historic property at 128 Grand Avenue to contain four apartments for low-income seniors.

Each of these projects required the acquisition of property on which structures had previously been built. The 128 Grand Avenue project also involved the merger of two distinct tax parcels and required, of necessity, that we serve as the general contractor in

order to ensure its completion. In 2007 that project's significant contribution to the character of the City was recognized by the Saratoga Springs Preservation Foundation.

Additionally, Shelters of Saratoga's significant experience with the target population and its tireless advocacy for safe and affordable housing uniquely qualifies the organization's candidacy as a transitional services provider.

C) Project Management

The SOS Housing Administrator will lead the project management team for this project based on his experience with the development of new capital projects, the management of housing rehabilitation programs and prior service as the general contractor for an SOS senior housing project. Other members of the development team will be selected members of the SOS Board, Les Ackerman, Charette Associates Architects, P.C., the General Contractor, the SOS Executive Director who previously was the Executive Director of Pahl Projects, a transitional housing project located in Lansingburgh, NY, the SOS Director of Development and the SOS Finance Director.

D) Partners

As the project evolves, we will continue to maintain a relationship with organizations like Hudson River Housing who currently operate and maintain transitional housing programs. We also will continue to identify and work with our public and private sector capital funding partners. Current costing suggests that this requested CDBG assistance could subsequently leverage as much as \$1,250,000 to \$1,500,000.

(ATTACHMENT 1)

PROGRAM OPERATING BUDGET

(Entitlement Grant + Leveraged funds = Total Activity Cost)

	ENTITLEMENT GRANT	LEVERAGED FUNDS*	TOTAL ACTIVITY COST	*SOURCE OF LEVERAGED FUNDS AND IN-KIND SERVICES
PERSONNEL				
SALARIES	\$0	\$0	\$0	IN KIND
FRINGES	\$0	\$0	\$0	IN KIND
OTHER (CONSULTANTS ETC.)	\$0	\$0	\$0	IN KIND
SUBTOTAL	\$0	\$0	\$0	

OVERHEAD				
ADVERTISING/MARKETING	\$0	\$0	\$0	IN KIND
PROGRAM SUPPLIES	\$0	\$0	\$0	IN KIND
RENT & UTILITIES	\$0	\$0	\$0	IN KIND
OTHER – LIST BELOW				
SUBTOTAL	\$0	\$0	\$0	

TOTAL COST	\$0	\$0	\$0
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(ATTACHMENT 2)

CONSTRUCTION/SITE DEVELOPMENT BUDGET

(Entitlement Grant + Leveraged funds = Total Activity Cost)

	ENTITLEMENT GRANT	LEVERAGED FUNDS*	TOTAL ACTIVITY COST	*SOURCE OF LEVERAGED FUNDS AND IN-KIND SERVICES
PRECONSTRUCTION				
LEGAL	\$0	\$0	\$0	IN KIND
ENGINEERING	\$11,000	\$0	\$11,000	
ARCHITECTURAL/DESIGN	\$18,000	\$0	\$18,000	
FEES AND PERMITS	\$0	\$5,000	\$5,000	SHELTERS OF SARATOGA
SUBTOTAL	\$29,000	\$5,000	\$34,000	

DEVELOPMENT				
RELOCATION	\$0	\$0	\$0	N/A
SITE PREPARATION	\$0	\$5,000	\$5,000	SHELTERS OF SARATOGA
CONSTRUCTION – MATERIALS/LABOR	\$147,500	\$29,000	\$176,500	WINDHOVER FOUNDATION
CONSTRUCTION FINANCING	\$0	\$0	\$0	
OTHER – (EXPLAIN)	\$0	\$0	\$0	
SUBTOTAL	\$147,500	\$34,000	\$181,500	

TOTAL COST	\$176,500	\$39,000	\$215,500
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(ATTACHMENT 3)
OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULAR A-133
MONITORING OF FEDERAL FINANCIAL ASSISTANCE TO SUBRECIPIENTS

ORGANIZATION: Shelters of Saratoga, Inc.

MAILING ADDRESS: P.O. Box 3089, Saratoga Springs, NY 12866

FEDERAL ID #: 14-1758441 PHONE: 518-581-1097 FAX: 518-581-8735

DUNS #: 003900896

1. Please identify your fiscal year (mth/yr to mth/yr): 07/2010 to 06/2011

Please identify below the funding received during your last fiscal year:

2. Community Development Block Grant Entitlement Funding (CDBG):

CDBG Activity Name: Owner-occupied Rehabilitation Grant Program

CDBG Program Funding Year: 2009 CDBG Funding Amount: \$15,200

CDBG Activity Name: Shelters of Saratoga, Inc. Transitional Housing

CDBG Program Funding Year: 2009 CDBG Funding Amount: \$5,000

3. Other Federal Financial Awards (cash & non-cash):

GIVE NAME & CATALOG OF FEDERAL FINANCIAL ASSISTANCE (CFDA) # AMOUNT OF AWARDS

HOMELESSNESS PREVENTION AND RAPID REHOUSING PROGRAM \$90,000

FEMA EMERGENCY FOOD & SHELTER PROGRAM 4,000

4. During your last fiscal year, has your organization expended more than \$500,000 in total federal financial awards (including CDBG & all other federal assistance)? Yes* No

5. Are you aware of any financial audit violations, findings or questioned costs relating to any activity funded with federal financial assistance?

Yes No

6. Other Saratoga County Awards (cash & non cash):

IDENTIFY PROGRAM NAME & YEAR OF AWARD

IDENTIFY AMOUNT OF CO. AWARDS

SARATOGA COUNTY OMH

\$39,900



Authorized Signature

02/29/10

Date