

APPLICATION FOR  
COMMUNITY DEVELOPMENT BLOCKGRANT (CDBG) ENTITLEMENT PROGRAM  
—2011 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

14-1758441  
(List Dept.) (List Federal ID #) (Specify)

003900896  
(DUNS #)

NATIONAL OBJECTIVE (select 1):

<u>"Benefit persons of Low/moderate income"</u>	<u>"Address slum/blight Conditions"</u>	<u>"Urgent CD Need"</u>
"N/A" L/M Income Area Benefit	"N/A" · Slum/blighted Area ·	"N/A" · Urgent Need
<input checked="" type="checkbox"/> L/M Income Limited Clientele Activities	"N/A" · Slum/blighted Spot Basis	
<input checked="" type="checkbox"/> L/M Income Housing Activities	"N/A" · Urban Renewal Completion	
<input checked="" type="checkbox"/> L/M Income Job Creation/Retention		

**REQUESTED ENTITLEMENT FUNDING:** \$ 106,031

Funding Leveraged from Other Sources: \$ 2,452,956

Total Activity Cost: \$ 2,558,987

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 architectural and construction activities that will create an SOS Human Services Complex comprised of a new 8 unit (up to 16 person) energy efficient transitional housing residence and the moderate renovation of two existing buildings in order to increase the capacity for male shelter guests by 50% and relocate 5 female emergency shelter accommodations to a separate facility. The project will include an accessible unit for each of these three populations as well as meeting and emergency shelter space for our neighbors and will improve the management efficiency of all SOS programs through the consolidation of its now dispersed office space.

  
(Authorized Signature) Executive Director  
(Title)

John Penzer, January 26, 2011  
(Typed or Printed Name) (Date)

## 1. ACTIVITY DESCRIPTION

A) Expansion from Previous Years - This activity is a continuation of the project approved for CDBG funding in the 2009 and 2010 funding cycles. It reflects a change in the 2010 approved work plan that was prompted by two factors:

(1) Leadership Saratoga's post-award recommendation that SOS forego the planned implementation of a capital campaign as the principal funding source for the project and (2) the subsequent identification of a New York State Office of Temporary Disability Assistance (OTDA) grant as the preferred single source of construction financing. Those factors led to the October 2010 submission of a funding application for \$2.44 million from the OTDA Homeless Housing Assistance Program (HHAP). The HHAP application garnered an early January site visit by HHAP staff. Decision on funding awards will commence in February 2011. Meanwhile, over the past 18 months, the architect who designed the current SOS emergency shelter 10 years ago has built on his initial mid 2009 work by defining the size and cost of additionally needed space and completion of site planning, including the final survey and hydrology study. In November 2010, as a result of speculation by the State Historic Preservation Office that the building site might contain historically significant artifacts, a Phase 1 archaeological study has been scheduled.

B) Community Need - The prevalence of homelessness in Saratoga County and the designation of our existing shelter as "emergency housing" necessitate a maximum stay of sixty days. SOS cannot extend the current maximum because to do so would necessitate turning away other individuals who meet the most basic criteria of homelessness and are literally seeking shelter from the streets. Unfortunately, such a short length of stay can and does initiate destabilization. While most individuals discharged from the emergency shelter intend to continue their search for permanent housing, more often than not factors such as the following impact their chances of success and deposit them instead firmly in the cycle of repeated homelessness:

- financial and vocational debilities that impede efforts to secure meaningful employment
- the lack of available temporary housing that offers a safe and stable environment
- a well-documented shortage of affordable permanent housing in Saratoga County
- the ongoing routine and nurturing support of a Case Manager

With respect to the latter, Case management documentation has shown that 60 days is not an adequate interval for individuals to seek and find employment and accumulate sufficient savings and property to effectively transition into and maintain permanent housing. Furthermore, although most useful to meet emergency needs, sixty days of social and behavioral support is often not sufficient to cement the lifestyle changes that are necessary for long term success.

C) Who Will Benefit - When completed, the project will provide up to 18 months of housing and supportive services to a minimum of eight (8) and a maximum of sixteen (16) stabilized low-moderate income "limited clientele" individuals in eight efficiency apartments. 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. Specific outcome objectives must be embraced by each emergency shelter guest selected to participate in the Second Step Transitional Housing program. These include a commitment to:

- Aggressively resolve naturally occurring and/or lifestyle acquired health status impairments
- Resolutely meet the challenges of securing and succeeding in a stable work environment
- Purposefully manage his/her finances, time and talents

Completion of the project benefits three low-moderate income groups as follows:

1. The total complement of four transitional housing participants who have been housed in a pilot program at 20 Walworth Street will relocate to the newly constructed facility.
2. One of the six female beds currently located in the basement level of the emergency shelter will be deleted to reflect historical demand and the remaining five beds will be relocated to 20 Walworth Street.
3. The basement space at 14 Walworth Street will be used to increase capacity for male guests from the current level of 12 to 18, an action that will significantly reduce the number of “turn aways” and reduce demands on the City and Saratoga County Department of Social Services.

These actions produce a net gain in capacity of five emergency shelter beds (1,285 bed nights annually). At a minimum, total SOS capacity for emergency and transitional housing guests increases by 40.9% (11,315 bed nights compared to a current level of 8,030).

D) Performance Goals - The principal goal to be achieved with CDBG support is the April 2012 occupancy of newly constructed transitional housing. During the 12 months beginning in July 2011, CDBG funding will be used to accomplish three activities. These include extensive site work following the completion of a Phase 1 archaeological study, substructure construction, and the initiation of construction of a new transitional housing facility that will connect two existing structures.

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

• Site Work	07/11
• Groundbreaking	09/11
• New construction substructure including foundations, slab on grade, and basement walls	11/11
• New construction shell including floor, roof, exterior walls, windows, doors, and roof finish	05/12

F) Approvals - In addition to the municipal codes that were previously referenced, it is possible that funders of the project, particularly New York State or federal entities, will impose design standards that we must satisfy.

## 2. ORGANIZATIONAL CAPACITY

A) Overview - Shelters of Saratoga has operated continuously since 1992 as the only adult emergency homeless shelter in Saratoga, Warren, and Washington County. The capacity of the SOS emergency shelter is 6,570 “bed nights”. From July 2009 through June 2010, SOS provided housing and meals for individuals whose aggregate stay was 6,226 bed nights, nearly 95% of capacity. Each guest is counseled a minimum of twice weekly by a case manager. In addition to the three Case Managers, the professional staff includes an Executive Director with more than 20 years of experience in the provision of human services, a House Manager, Bookkeeper, Development Director, and Housing Administrator. SOS is governed by a voluntary Board of Directors comprised of 12 individuals who reside in the greater Saratoga Springs area. Current members of the Board, their field of work and community of residence are:

Mr.	Joseph	Baumann	Advertising/Communications	Saratoga Springs
Mr.	Berry	Beumer	Optical products sales VP	Saratoga Springs
Mr.	Daniel	Bobear	Advertising/Communications VP	Greenfield Center
Ms.	Judith	Boyce	Community Volunteer	Saratoga Springs
Dr.	John	Breuggeman	Sociology Professor	Saratoga Springs
Mrs.	Karen	Foster	Bank Officer	Saratoga Springs
Mr.	Edward	Hammond	School Administrator (Ret.)	Saratoga Springs
Mr.	Richard	Higgins	Attorney/Developer	Saratoga Springs
Mr.	John	Mastropietro	Attorney/Architect	Saratoga Springs
Mr.	Kelly	Reinhart	Certified Public Accountant	Greenfield Center
Mr.	Stephen	Towne	CPA/Realtor	Saratoga Springs
Mr.	Warren	Wildy	Law Enforcement (Ret.)	Saratoga Springs

B) Organizational Experience

1) 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
2009	CDBG	Second Step Transitional Housing	\$5,000
2010	CDBG	Second Step Transitional Housing	\$25,000

2) 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 (currently not age-restricted) individuals.
- In 2006 we completed the reconstruction of a deserted property at 128 Grand Avenue to contain four apartments for low-income seniors (currently not age-restricted).
- In 2010 SOS acquired a two unit structure on land adjacent to the emergency shelter and, following minor renovation, promptly devoted its use to the operation of a four client transitional housing pilot program.

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.

### C) Project Management

The SOS Executive Director will lead the development team for this project. Based on his experience with the development of new capital projects, the management of housing rehabilitation programs and service as the general contractor for an SOS senior housing project, the Housing Administrator will serve as the Project Manager. Other key members of the development team are attorney/architect John Mastropietro and develop/attorney Richard Higgins, both of whom are members of the SOS Board. The SOS Director of Development and key staff currently managing the day-to-day operations of the emergency shelter will advise the committee as needed on construction issues relevant to their job function.

### D) Project Partners

A major partner in this endeavor is the City of Saratoga Springs through the input of its Community Development Department, Planning Board and Zoning board of Appeals. We have consulted with and will continue to draw upon the expertise of these entities to ensure that our proposed facility is not only compliant with applicable codes and regulations but also enhances the neighborhood and its existing structures.

As the project approaches the building phase we have also identified and sought support from our public and private sector capital funding partners. Based on the construction of a two-story 9,000 square foot building that includes a fully usable basement, the moderate rehabilitation of the two current structures that it will connect and substantial site preparation, we have projected building costs at current rates to be just over \$2.5 million. The application to HHAP for major project funding is chronicled in Section 1.A. of this application. That application suggests that our request for \$106,031 in CDBG assistance would subsequently leverage over \$2.4 million.

During the Second Step Transitional Housing pilot program that began in April 2010 we entered into an employment related partnership with Saratoga Hospital which has resulted in the hiring of one program participant to date. As the program matures, we anticipate that additional participants will benefit from that partnership.

A second employment related partnership has been forged with Skidmore College. Most recently, that connection has resulted in our provision of a student internship experience that will assist emergency shelter guests identified as candidates for the transitional housing program to secure stable employment in anticipation of their "graduation" to the Second Step program.

Neighborhood businesses and homeowners offer additional opportunities for "partnerships". Among the former are The Masie Center, the locally based international think-tank and Allerdice, Saratoga Springs' largest privately owned home improvement center. Both have not only been provided with the opportunity to comment on our plans but have also been parties to property line adjustments critical to the finalization of our building plans.

Also, we will shortly begin the process of inviting neighborhood residents to become actively engaged in the project and, with the onset of warmer weather, will be their host for such gatherings as ice cream socials. Beyond our initial goal of addressing any of their questions or concerns, we will explore with them the desirability and feasibility of designing and equipping our new conference/training area to help meet the need for emergency sheltering and feeding in times of natural disaster and other events characterized by loss of utilities in the neighborhood.

(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
<b>PERSONNEL</b>				
Salaries	\$0	\$0	\$0	In Kind
Fringe	\$0	\$0	\$0	In Kind
Other (consultants, etc.)	\$0	\$0	\$0	In Kind
<i>Subtotal</i>	\$0	\$0	\$0	

<b>OVERHEAD</b>				
Advertising/Marketing	\$0	\$0	\$0	In Kind
Program Supplies	\$0	\$0	\$0	In Kind
Rent & Utilities	\$0	\$0	\$0	In Kind
Other – list below	\$0	\$0	\$0	In Kind
	\$0	\$0	\$0	In Kind
	\$0	\$0	\$0	In Kind
	\$0	\$0	\$0	In Kind
<i>Subtotal</i>	\$0	\$0	\$0	
	\$0	\$0	\$0	
<b>TOTAL COST</b>	\$0	\$0	\$0	

## (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
<b>PRECONSTRUCTION</b>				
Legal	\$0	\$0	\$0	N/A
Engineering	\$0	\$0	\$0	\$0
Architectural/Design	\$72,069	\$30,000	\$102,069	HHAP SOS
Fees and Permits	\$0	\$0	\$0	N/A
Subtotal	\$72,069	\$30,000	\$102,069	

<b>DEVELOPMENT</b>				
Relocation	\$0	\$0	\$0	\$0
Site Preparation	\$33,962	\$135,000	\$168,962	HHAP SOS
Construction – materials	\$0	\$1,118,978	\$1,118,978	HHAP
Construction – labor	\$0	\$1,118,978	\$1,118,978	HHAP
Construction Financing	\$0	\$50,000	\$50,000	\$50,000
Other - (explain)	\$0	\$0	\$0	N/A
Subtotal	\$33,962	\$2,422,956	\$2,456,918	
<b>TOTAL COST</b>	<b>\$106,031</b>	<b>\$2,452,956</b>	<b>\$2,558,987</b>	

OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULAR A-133  
MONITORING OF FEDERAL FINANCIAL ASSISTANCE TOSUBRECIPIENTS

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): 07/2011 to 06/2012

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

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

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

CDBG Funding Program Year: 2010 CDBG Funding Amount: \$25,000

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

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

HPRP \$194,020

FEMA \$4,000

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

\* If "yes", include a copy of your latest Single Audit Report with this completed and signed form as part of your application. If you answered "no", please complete, sign and return this form.

5. Are you aware of any financial audit violations, findings or questioned costs relating to any activity funded with federal financial assistance? YES \*  NO

\* If "yes", please describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

IDENTIFY PROGRAM NAME & YEAR OF AWARD IDENTIFY AMOUNT OF Co. AWARDS

Saratoga County OMH 2010 \$39,900

\_\_\_\_\_

\_\_\_\_\_



Authorized Signature

January 26, 2011

Date