THE CITY OF TROY:
EMERGENCY SOLUTIONS GRANT (ESG)PROCESS

The Emergency Solutions Grant (ESG) program is authorized by the McKinney-Vento Homeless Assistance Act funded through the U.S. Department of Housing and Urban Development (HUD) as amended by the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act). This federally funded program is administered through HUD by a formula allocation to ESG entitlement localities and states. The City of Troy is responsible for administering the city's ESG allocation. The allocation includes funds (7.5 percent of the annual allocation) for administrative costs. This could go to non-profits. No more than 60% of the annual allocation can be allocated to Emergency Shelter. RCHSC makes an annual recommendation on the percentage allocations for Emergency Shelter, street outreach, homelessness prevention, and rapid rehousing programs.

The goals of the ESG program are that:
• Individuals and families at-risk of homelessness obtain and maintain appropriate permanent housing; and
• Individuals and families experiencing homelessness obtain and maintain appropriate permanent housing.

The City of Troy will meet these objectives through supporting homeless shelter programs and effective rapid rehousing and prevention programs.

Eligible Program Type	**Purpose**	**Eligible Costs**
Emergency Shelter	Essential services	Case management, childcare, education services, employment assistance and job training, outpatient health services, substance abuse treatment services, transportation, and services for special populations.
Emergency Shelter	Shelter operations	Maintenance, rent, repair, security, fuel, equipment, insurance, utilities, relocation, and furnishings.
Homeless Prevention	Housing relocation and stabilization services and short and/or medium-term rental assistance as necessary to prevent the individual or family from becoming homeless if: 1) Annual income of the family is below 30% of median family income. 2) Assistance is necessary to help program participants regain stability in their current permanent housing or move into other permanent housing and achieve stability in that housing.	Utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, emergency financial assistance to avoid eviction and credit repair.
Rapid Re-Housing	Housing relocation and stabilization services and short and/or medium-term rental assistance as necessary to help individuals or families living in shelters or in places not meant for human habitation move as quickly	Utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case

	as possible into permanent housing and achieve stability in that housing.	management, landlord-tenant mediation, tenant legal services, and credit repair.
HMIS	The ESG recipients are required to report program participant-level data, such as the number of persons served and their demographic information, in a Homeless Management Information System (HMIS) database. HMIS is an electronic data collection system that facilitates the collection of information on persons who are homeless or at risk of becoming homeless that is managed and operated locally.	Technical Staffing and software

ALLOCATION OF FUNDS

The City of Troy collaborates with the Rensselaer County Homeless Services Collaborative, NY-512, to determine funding allocations. RCHSC annually provides the City with a proposed breakdown of funding and the City uses the proposed breakdown to determine the percentage of funds that will be allocated towards each eligible activity.

APPLICATION REVIEW

Each applicant must complete and submit the ESG RFP to CARES, Inc, on behalf of the City of Troy, by the posted deadline, which can be found on the City's website (www.troyny.gov). The City of Troy collaborates with CARES, Inc. to facilitate application review. Reviewers must be from a non-funded agency and objective individuals. CARES will work with the Continuum (RCHSC) to reach out to reviewers who will review and score each ESG RFP. The projects are then ranked in order of score (highest to lowest). Once all applications are scored and ranked, the Collaborative Applicant sends the scores to each of the applicants and the Continuum approves the scoring/ranking. Following the scoring and ranking process, the funded agencies convene to determine funding allocations. The scoring/ranking, along with the proposed budget, is then forwarded to the City of Troy by CARES.

- **City of Troy Responsibilities**

The City of Troy is responsible for ensuring the following annually:

  - Finalize the Annual ESG RFP
  - Accept the CoC's Proposed Funding Allocations
  - Accept the CoC Proposed Project Ranking
  - Accept the CoC's Proposed Budget.
  - Post the Proposed Budget for a 30-day comment period.
  - Following the budget approval by City Council, the City of Troy will send the approved budget to HUD. This will occur by mid-May of the Calendar Year.
  - HUD will send final allocations to the City. The City Council will meet to approve HUD final allocations. This usually occurs in July of the Calendar Year.
  - Final City Approval of allocations is sent to HUD by mid-August of the Calendar Year.

- **CARES, Inc. Responsibilities**

CARES, Inc. is responsible for ensuring the following annually:

  - Release the Annual ESG RFP to the Community
  - Oversee the RFP Review Process
  - Send a Proposed Funding Allocation to the City of Troy on behalf of the community. This usually occurs in January of the Calendar Year.
  - Send a Proposed Budget to the City of Troy on behalf of the community. This usually occurs in February of the Calendar Year. This Proposed Budget will be posted by the City of Troy for a 30-day

comment period. Following the comment period, the budget is approved by city council. This approval generally occurs in May of the Calendar Year.

- Facilitate the review of the ESG application
- Send the approved scoring/ranking to the City of Troy
- Creating and disbursing ESG contracts on behalf of the City of Troy
- Monitoring sub recipients throughout the contract year on behalf of the City of Troy

TIMELINE

The below calendar identifies the timeframes within which the City of Troy ESG process usually occurs. This calendar is subject to change as a result of the City of Troy and/or HUD timing.

Month	Action
January	• RCHSC Board will review, potentially edit, and approve the recommended RFP edits and Proposed Funding Allocation from the RCHSC NOFA Committee. • CARES will send a Proposed ESG RFP and Funding Allocation to the City of Troy on behalf of the community. • RCHSC will select ESG Application reviewers.
February	• The City of Troy will accept the CoC's Proposed ESG RFP and Funding Allocations. • CARES will send out the Final ESG RFP to ESG Applicants. • ESG Applicants will complete the ESG RFP.
March	• ESG Application reviewers will review and score the ESG RFPs. • ESG Applicants convene to determine funding allocations. • CARES will send a proposed budget to the City of Troy. (If HUD/the City of Troy have not determined a final budget, RCHSC will create the budget based on guidance from the City of Troy.) • The City of Troy will post the Proposed Budget for a 30-day comment period.
April	
May	• Following the budget approval by City Council, the City of Troy will send the approved budget to HUD.
June	
July	• HUD will send final allocations to the City.* The City Council will meet to approve HUD final allocations. • The City of Troy will send HUD final allocations.
August	
September	
October	
November	
December – Beginning of Process	• CARES will release the Annual ESG RFP to the RCHSC NOFA Committee. • The RCHSC NOFA Committee will review and make any proposed edits to the ESG RFP (including a Proposed Funding Allocation), and send to the RCHSC Board.

*If there is a significant (>15%) deviation from prior year levels of funding, then, with permission from the City of Troy, the NOFA Committee will review and possibly modify the allocation recommendation, subject to approval by the RCHSC Board.

RFP APPEALS PROCESS

If a sub recipient questions their score and would like to appeal, they may do so in writing within one week of the written notification of their score. The appeal must be (in writing or email) to both CARES, Inc. **and** the City of Troy.

If an organization wishes to appeal a funding decision, they may make an appeal to the City Council at any of the Public Hearings held to obtain citizen comment. Written appeals regarding funding decisions may be submitted to the City of Troy prior to the adoption of the final budget for the Operating Year. Public Hearings will be announced in local newspapers in the Legal Notice section.

PROJECT FUNDING

The City of Troy will determine the amount of funds allocated to each sub recipient based on their score and past performance. CARES, Inc., on behalf of the City of Troy, will send an award letter to notify each sub recipient.

RFP PROCESS

The RFP Process embraces the regulations set forth by HUD in the Program Interim Rules, which require collaboration on planning (allocating ESG funds). Collaboration between CoC and ESG recipients is ongoing beyond this RFP Process. The CoC and ESG recipients engage continuously in the following ways: Collaboration in the Coordinated Entry System, which was designed to meet the needs of all CoC and ESG Program-funded projects; Collaboration on Written Standards; Collaboration on reporting on ESG Programs through program evaluation; and Collaboration on System Planning and Discharge Planning.

ESG PROGRAM MONITORING PROCEDURE

CARES, Inc., on behalf of the City of Troy, will provide/conduct the following services to the ESG funded agencies: project vouchering, program review, technical assistance and program monitoring. By providing these services, CARES ensures program compliance with HUD-ESG regulations. CARES, Inc. will collaborate with ESG sub recipients to ensure compliance with these regulations.

VOUCHERING

Agencies are to submit vouchers at least quarterly. The City of Troy's HUD fiscal year runs from July through June. CARES, Inc. will review the program vouchers as the agencies submit them. Each eligible activity is required to provide specific documentation. Below is a detailed explanation by activity.

<u>Homeless Prevention</u>

Vouchers must include an expenditure claim form with a summary of work performed during the time period being billed. Documentation is required for all expenses being requested for reimbursement. Eligible activities include: utilities, rental assistance fees, security deposits, last month's rent, utility deposits/payments, moving costs, housing search/placement, housing stability case management, landlord-tenant mediation, tenant legal services, emergency financial assistance to avoid eviction, and credit repair.

For **rental assistance reimbursements**: the address of the tenant, the amount of rent paid, the check number and date, and the payee must be submitted with the voucher.

For **security deposit reimbursements**: the name and address of the tenant and landlord, the amount of security paid, the check number and date, and the name of the payee must be included with the voucher.

For **emergency utility assistance**: the address of the tenant, the amount of assistance paid, the check number and date, the payee, and a letter of termination from the utility provider must be submitted with the voucher.

<u>Emergency Shelter</u>

Vouchers must include an expenditure claim form with a summary of work performed during the time period being billed. Documentation is required for all expenses being requested for reimbursement. Eligible activities for Essential Services include: case management, childcare, education services, employment assistance and job training, outpatient health services, substance abuse treatment services, transportation and services for special populations. Eligible expenses for Shelter Operations include: Maintenance, rent, repair, security, fuel, equipment, insurance, utilities, relocation and furnishings.

For **personnel services**: time sheets, payroll journal and time and effort reporting must be included with the voucher.

For **equipment and supplies**: receipts, the check number and date, and the payee must be submitted with the voucher.

For **travel expenses**: a copy of the agency travel reimbursement form, the check number and date, and the payee must be submitted with the voucher.

<u>Rapid Rehousing</u>

Vouchers must include an expenditure claim form with a summary of work performed during the time period being billed. Documentation is required for all expenses being requested for reimbursement. Eligible activities include: utilities, rental application fees, security deposits, last month's rent, utility deposits/payments, moving costs, housing search/placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.

For **rental assistance reimbursements**: the address of the tenant, the amount of rent paid, the check number and date, and the payee must be submitted with the voucher.

For **security deposit reimbursements**: the name and address of the tenant and landlord, the amount of security paid, the check number and date, and the name of the payee must be included with the voucher.
For **personnel services**: time sheets, payroll journal and time and effort reporting must be included with the voucher.
For **emergency utility assistance**: the address of the tenant, the amount of assistance paid, the check number and date, the payee, and a letter of termination from the utility provider must be submitted with the voucher.

Once approved, CARES Inc. will prepare the vouchers for reimbursement and forward them to the City of Troy for payment. The City of Troy will pay the agencies directly once they receive this approval (from CARES, Inc.). CARES will request receipt of payment from the City of Troy to ensure payment has been made to the agency.

PROGRAM REVIEW AND TECHNICAL ASSISTANCE
Program review and technical assistance will be an on-going service and can take a variety of forms. One form of program review will be through ongoing program feedback. CARES, Inc. will submit quarterly reports to the RCHSC NOFA Committee for review. These report cards will include performance standards, performance outcomes and data quality. CARES, Inc. will forward these report cards to the agencies, on behalf of the NOFA Committee, once committee review is complete. CARES, Inc. will provide technical assistance and trainings covering the parameters of the ESG program, as needed.

ANNUAL MONITORING PROCESS
To supplement the quarterly reports, CARES, Inc. will continue the monitoring process with annual site visits. The site visit will include file review as well as staff interviews, with the goal of ensuring that agency files are maintained in such a way that complies with the recordkeeping regulations. Site visits will occur mid-year. CARES, Inc. will send a post-site visit report to each agency with any findings and outlined action steps to be taken within a prescribed time frame. The report will state if follow up with the agency is required and whether that follow up will take the form of a site visit or technical assistance call. CARES, Inc. will follow up with the agency, within 30 days of the expiration of the prescribed timeframe, to ensure those action steps have been put into place to keep the program in compliance.

CLOSE OUT REPORT
At the completion of all agency follow up, CARES, Inc. will submit a close out report to the agency that outlines all technical assistance, site visits, findings and conclusions that were completed and found during this process. This close out report will be submitted to the agency within 30 days of the completion of follow up by CARES, Inc.