

UNIFIED FUNDING AGENCY (UFA)

STANDARD OPERATING PROCEDURES

Version Two

CONTINUUM OF CARE NY-606

CARES of NY, Inc.

Rockland County Continuum of Care (RCCoC)



Version 2 | Effective December 2021

Notes about the Unified Funding Agency Standard Operating Procedures Version Two:

The major changes made to the Standard Operating Procedures are as follows:

1. Added opportunity for both onsite and virtual monitoring.
2. Made Contract Term section more succinct.
3. Clarified roles of each entity involved within the UFA, especially the subrecipients
4. Made the following updates to CARES' Staff:
 - i. UFA Associate to Senior Funding Analyst
 - b. Grants and Contracts Manager to Director of Grants and Operations
 - c. Accounting Team to Finance Team
5. Added to Subrecipient Recommendations
6. Added notes about the new contract attachments
7. Any change to ELOCCS requires Board notification and approval.
8. Updated budget policies to match HUD guidance.
9. Added Post Approval procedures for budget changes.
10. Added a section about Advancing Payment to subs.
11. Moved the sections about Annual Monitoring and Source Documentation to the Project Monitoring section of the handbook and added a section about Single Audit Monitoring.
12. Updated fund redirection dates to be accurate with the grant year.
13. Updated policies to Ensuring Fair & Equitable Distribution of Redirected Funds.
14. Updated the Contract Process for Redirected Funds.

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I. INTRODUCTION

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PURPOSE

The purpose of this document is to outline the standard operating policies and procedures for the Unified Funding Agency (UFA) Program for the Rockland County Continuum of Care.

The guidelines herein dictate the actions to be performed to ensure an efficient Continuum-wide program, and to build consistency, structure, and controls to meet the regulatory requirements set forth for the Unified Funding Agency Program by the Department of Housing and Urban Development (HUD).

HOW TO USE THIS TOOL

The Table of Contents provides readers a quick reference for information on specific topics on the UFA Standard Operating Procedures (SOP). Each section begins with a brief introduction which outlines the purpose and content therein. The Appendices provide supplemental resources and information, including a Glossary of Commonly Used Terms ([Appendix A](#)) and UFA Contact Information ([Appendix B](#)).

BACKGROUND

The Unified Funding Agency (UFA) Program was established by the McKinney-Vento Homeless Assistance Act as amended by §896 The Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009. The Continuum of Care Program Interim Rule (first released in 2012 and last updated in 2017) then detailed the role of the UFA, defining it as an eligible applicant selected by a Continuum of Care (CoC) and approved by the U.S. Department of Housing and Urban Development (HUD) to receive and distribute funding for all projects funded within the CoC.

The benefits of UFA designation for the CoC and Community include:

- Ability for projects to scale up or down in the event resources are not efficiently used or demand proves higher than anticipated.
- Capacity to repurpose otherwise unspent (and potentially returned) funds.
- Improved response time to meet (changing) community needs throughout the contract year.
- Reduced administrative workload for projects; with UFA designation, subrecipients do not prepare or submit annual CoC Project Applications or Annual Progress Reports (APRs).

CARES of NY, INC.: Unified Funding Agency for the Rockland County Continuum of Care

Due to the strength of the Collaborative Applicant, CARES of NY, Inc. (CARES), became the tenth UFA designate in the country for the NY-606 Rockland Continuum of Care (“the CoC”) during the 2018 CoC Program Competition.

CARES’ strengths that contributed to being a designated UFA include:

- Expertise in establishing strong Board and Governance structures
- Clearly defined subcommittees contributing to system-wide communication and collaboration
- Demonstrated expertise in grants management and working knowledge of HUD regulations and program requirements
- Effective monitoring processes (annual APR reviews and site and virtual visits, data quality memos) overseen and will be jointly carried out by CoC subcommittees and Collaborative Applicant staff

CONTRACT TERM

The contract term for CoC-funded agencies (i.e., UFA subrecipients) is July 1st-June 30th.

UNIFIED FUNDING AGENCY (UFA) GRANT ADMINISTRATION PROCESS

The figures below provide an overview of the grant administration process in continuums with and without Unified Funding Agency (UFA) designation.

Figure 1 depicts the grant administration process in a Continuum **without** UFA designation, wherein the U.S. Department of Housing and Urban Development (HUD) maintains annual grant agreements with each CoC-funded agency and the Collaborative Applicant (CA) provides guidance to the CoC-funded agencies ([HUD UFA Webinar](#)).

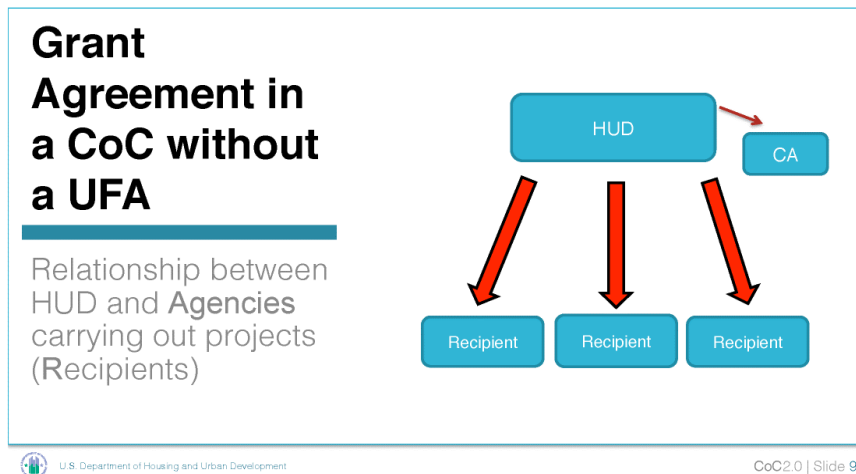
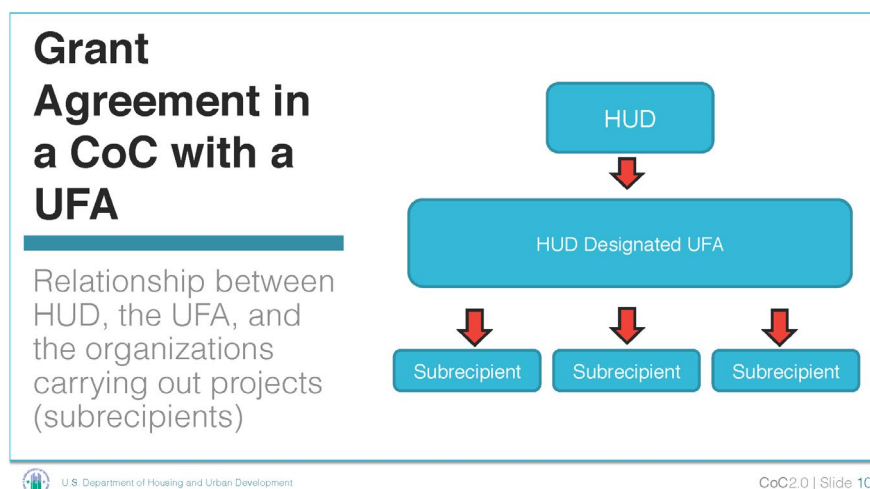


Figure 2 depicts the grant administration process for a Continuum **with** UFA designation, wherein the UFA is the direct HUD grantee and maintains annual subrecipient agreements with each CoC-funded agency ([HUD UFA Webinar](#)). The Collaborative Applicant becomes the UFA.



II. UNIFIED FUNDING AGENCY ROLES & RESPONSIBILITIES

This section describes the Unified Funding Agency (UFA) operating system and details the roles and responsibilities of the U.S. Department of Housing and Urban Development (HUD), the Collaborative Applicant (CARES of NY, Inc.), CoC-funded agencies (subrecipients), and interested stakeholders of the NY-606 Rockland County Continuum of Care (RCCoC) under UFA designation.

DRAFT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD): FUNDER

Under Unified Funding Agency (UFA) designation, HUD remains the legal authority in the implementation and operation of the CoC program. As such, HUD:

- Makes annual funding decisions for all CoC funded projects.
- Determines community priorities and performance targets, in collaboration with the CoC.
- Establishes the legally binding contract (grant agreement) with the designated UFA (CARES) for the entire CoC.
- Maintains direct communication primarily with the UFA.
- Monitors the UFA and subrecipients.

CARES OF NY, INC. (CARES): UNIFIED FUNDING AGENCY (UFA)

Under UFA designation, CARES is legally responsible to HUD as a direct grantee, as well as to the RCCoC and subrecipient member agencies. As such, CARES:

- Enters into a legally binding grant agreement with HUD for the UFA-designated contract year for the funding amount awarded for all CoC funded projects.
- Contracts with each CoC-funded agency, for all projects within the agency that are HUD funded, for the UFA-designated contract year.
- Applies as a single entity to HUD each year during the CoC Program Competition for all new, renewal, and planning funding for CoC projects.
- Reapplies for UFA designation each contract year.
- Executes drawdowns and disburses funding to subrecipients.
- Monitors subrecipients for programmatic and fiscal compliance each at least annually.
- Submits all required documentation to HUD (including but not limited to APRs and budget amendments).
- Tracks project spending to identify potential unspent funds available for redirecting during the UFA-designated contract year.
- Notifies the Fiscal Committee of any budget modifications.
- Obtains approval from the CoC Board regarding any proposed budget amendment prior to submitting a formal request for amendment to HUD; and
- Adheres to all policies and procedures as described within this manual.

See [Appendix B](#) for Unified Funding Agency (UFA) Contact Information.

COC-FUNDED AGENCIES: UNIFIED FUNDING AGENCY (UFA) SUBRECIPIENTS

Agencies awarded CoC funds are considered subrecipients of the UFA, and as such, agencies:

- Compose an annual letter of support for CARES of NY, Inc. as the UFA.
- Enter into a legally binding grant agreement with the UFA for the HUD awarded amount and scope of work in the CoC Program application including program match information and relevant fiscal updates (e.g., annual audit dates, Single Audit requirements, program income applicability, etc.).
- Comply with all program requirements and budget obligations as stated in the CoC Program application.
- Follow fiscal policies and procedures as outlined in this manual and agreed upon by the CoC.
- Appoint at least one (1) financial representative to be part of the Finance Advisory Committee who must attend at least 8 out of 12 monthly meetings, and if unable to attend a meeting, will put forth effort to find substitute from their agency to fill their absence. Attendance is important so that each agency can have input and remain aware of the fiscal matters of the Continuum.
- Monitor their own contracts to ensure that the grant will be spent in its entirety, otherwise alert CARES of available redirected funds as soon as possible.
- Respond timely to inquiries for UFA monitoring to ensure project compliance.

After becoming an UFA subrecipient vs. HUD subrecipient, CoC agencies are no longer required to:

- Submit project applications in E-Snaps.
- Complete Annual Performance Reports (APRs) within Sage.
- Manage financials through ELOCCS (vouchers); or
- Complete annual ELOCCS certification.

See [Appendix C](#) for a complete list and descriptions of FY 2019 CoC-Funded Projects.

ROCKLAND COUNTY CONTINUUM OF CARE (RCCoC)

In collaboration with HUD, the Rockland County Continuum of Care (RCCoC) remains responsible for:

- Determining community and funding priorities; and
- Approving or rejecting all projects that apply for CoC funding.

ROCKLAND COUNTY CONTINUUM OF CARE (RCCoC) BOARD

The RCCoC Board remains responsible for:

- Reviewing and providing feedback on fiscal policies and procedures.
- Reviewing and approving all forms used for Redirection Processes
- Reviewing and approving the Standard Operating Procedures (SOP).
- Reviewing and approving any grant amendments; and
- Providing approval for projects eligible for redirected CoC funds.

COLLABORATIVE APPLICANT

With Unified Funding Agency (UFA) designation, CARES (as the Collaborative Applicant) is required to:

- Reapply annually for continued UFA designation.
- Apply for a Planning Grant on behalf of the entire CoC.
- Continue with required and agreed-upon responsibilities (as outlined in the annual Scope of Work) including successfully submitting of the annual application.
- Submit the annual Housing Inventory Count (HIC) and Point-in-Time (PIT); and
- Ensure that the Continuum adheres to governance policies and procedures.

FISCAL ADVISORY COMMITTEE

The Fiscal Advisory Committee (comprised of financial representatives from each CoC funded agency) provides feedback and makes recommendations to the UFA on:

- Financial policies and procedures.
- Financial reports; and
- This Standard Operating Procedures (SOP) manual

The Fiscal Advisory Committee will assist in the execution of the following tasks:

- Ensure funded agencies adhere to financial policies and procedures as outlined in the SOP.
- Monthly review of project spending, budget modifications and amendments for possible redirecting of funds; and
- Review fiscal monitoring results of each CoC program.

III. UNIFIED FUNDING AGENCY FINANCIAL MANAGEMENT

This section outlines the policies and procedures for entering into contracts, reimbursing projects, monitoring agencies, and auditing subrecipients of CARES of NY, Inc. (as UFA).

FINAL

FINANCIAL ROLES & RESPONSIBILITIES

UNIFIED FUNDING AGENCY (UFA)

As UFA, CARES must:

- Ensure adequate separation of duties among its staff so no single individual has authority over an entire financial transaction (e.g., reviewing vouchers, processing ELOCCS drawdowns, receiving funds, and managing financial records).
- Receive, review, and approve or deny all requests from subrecipients (e.g., vouchers, budget modifications) and provide a response within ten (10) business days; and
- Draw down funds from ELOCCS and reimburse subrecipients in a timely manner.



Figure 3. CARES' staff roles in financial transactions.

CARES SENIOR FUNDING ANALYST

The Senior Funding Analyst is responsible for:

- Reviewing all vouchers for completion and accuracy based upon approved budgets.
- Requesting clarification on or resubmission of vouchers, when necessary, from agencies; and
- Educating UFA subrecipients on vouchering procedures.
- Forwarding approved vouchers to the Finance Team monthly for review and approval for LOCCS drawdown.
- Maintaining copies of all approved vouchers.
- Tracking grant spending.
- Monitoring monthly spending totals per project and communicating with any agency with projected under-spending to review possible need to redirect funds.
- Preparing budget modification forms for Fiscal Committee review.
- Updating vouchers per budget modifications.
- Preparing budget modification letters for HUD approval.

- Emailing budget modification letter to HUD Buffalo requesting change in ELOCCS.
- Overseeing redirected funds application collection.
- Communicating with Director of Grants and Operations regarding redirect awards and subaward amendments, including agency, project, and amount being redirected or amended.
- .
- In coordination with the Compliance Officer, overseeing the annual monitoring of subrecipients

DIRECTOR OF GRANTS AND OPERATIONS

The Director of Grants and Operations is specifically responsible for:

- Maintaining copies of all active grant documentation.
- Maintaining active ELOCCS authorized user status.
- Entering Finance Team approved amount of funds from vouchers into ELOCCS.
- Resolving any error messages received by the ELOCCS system.
- Once funds are received from HUD, entering approved ACH transactions to initiate wire transfer to subrecipients and doing appropriate internal transfers.
- Notifying Senior Funding Analyst and Finance Team of subrecipient payments.
- Reviewing budget modifications and amendments for accuracy with contract.
- Creating contracts and/or addendums for awarded redirected funds.

FINANCE TEAM

The Finance Team is responsible for:

- Reviewing of the accuracy of voucher and ELOCCS totals.
- Submitting approved ELOCCS drawdown and ACH summary (monthly) to Director of Grants and Operations.
- Reviewing accuracy of ELOCCS deposit(s) to bank account.
- Reviewing accuracy of all ACH payments per agency.
- Reconciling CARES' bank account monthly.

UNIFIED FUNDING AGENCY (UFA) SUBRECIPIENTS

Subrecipients are responsible for:

- Submitting a voucher to CARES at least once every 90 days (monthly submission is strongly recommended in order to track real time spending).

- Maintaining appropriate source documentation for vouchers, including but not limited to costs related to:
 - Personnel Services (time sheets, payroll journal, time & effort reporting).
 - Rental Assistance (address of tenants, amount of rent paid, check number and date, bank statements reflecting expenses including copies of cancelled checks).
 - Security Deposits (name and address of tenants, amount of security paid, check number and date, bank statements reflecting expenses including copies of cancelled checks).
 - Utility Assistance (address of tenant, amount of assistance paid, check number and date, letter of termination from utility provider, bank statements reflecting expenses including cancelled checks).
 - Equipment & Supplies (copies of receipts, check number and date, and indicate the payee, bank and/or credit card statements reflecting expenses); and
 - Other Expenses (copies of receipts, check number and date or bank statement, bank and/or credit card statements showing expenses)
- Determining and documenting the project match and source to be kept on file for monitoring.
- Providing a letter of commitment to provide 25% match per project budget to the UFA for upload into the annual CoC funding application.
- Complying with all general HUD fiscal procedures.

UNIFIED FUNDING AGENCY (UFA) SUBRECIPIENT RECOMMENDATIONS

Subrecipients are **strongly encouraged** to:

- Review and understand their **Subrecipient Agreement** and all requirements contained therein.
- Submit a completed voucher to CARES each month.
- Ensure their agency has a financial system in place to track and document all expenses in accordance with the Federal Awards Uniform Administrative Requirements including noting the program CFDA number within the Chart of Accounts associated with the agency's UFA projects where applicable.
- Ensure project staff understand project specifications, including their role in tracking and documenting expenses; and
- Discern distinctions among Program Administrative Costs, Program Costs and Overhead/Agency Administrative Costs:
 - Program Administrative Costs: Costs related to the management, oversight, coordination, monitoring and evaluation of a specific project.

- Program Costs: Costs directly related to program activities (e.g., time spent issuing checks to landlords is directly related to the Rental Assistance line item and is therefore a Rental Assistance Project Cost); and
- Overhead/Agency Administrative (Indirect) Costs: Costs that support the entire agency, rather than the project.
 - Note: Overhead/Agency costs are not reimbursable except under an approved indirect cost rate (including de minimus).
 - Subrecipient Agreements will indicate if an agency may charge indirect costs.

FINAL

UFA CONTRACTS WITH SUBRECIPIENTS

- Contracts for subrecipients are administered after CARES executes a formal grant agreement with HUD.
 - If a subrecipient does not sign their contract, generally, they are not eligible to receive any of their grant award until the contract is executed.
- If subrecipients subcontract out any portion of their grant award, they must also ensure that CARES has a fully executed copy of the sub agreement including a signature from CARES.
 - If the subrecipient's subcontract(s) are not executed, even if the main contract is executed, the subrecipient is not eligible to receive their grant award.
- At the time of contract execution, the subrecipient must list their match source(s), note any findings on their audit, and attest that program income is used for eligible expenses.
 - Match sources will be used to report match to HUD; CARES may ask for a letter and/or proof of match during the grant year.
 - CARES will research all subrecipient audits to review findings and work with the subrecipient to resolve issues.
 - Any remediation of findings will be addressed during fiscal monitoring.
- Contract budget modifications and amendments will be recognized with executed contract addendums documenting the date of change and the date that funds may be vouchered for in addition to the subrecipient receiving a new voucher.
- If a new project is created through redirection, that contract is only eligible to expend awarded funds beginning on the day their contract is fully executed.

UFA BUDGET MODIFICATIONS & AMENDMENTS

Budget modifications and amendments, which document shifting of funds between projects, activities, and subrecipients, enable projects to scale up or down if resources are underutilized or if client demand proves higher than anticipated.

Per HUD regulations:

- Funds may be shifted, only, if necessary, to improve services to eligible populations within the CoC, and with the assurance that all contract and NOFA priorities will continue to be met.
- If the budget modification is less than 10% of the original HUD approved budget line funds combined for all CoC funded agencies, CARES (as UFA) may shift funds during a single contract year without a formal amendment request through HUD.
- The HUD Regional Office has discretion regarding any budget line changes exceeding 10% of the original, overall, HUD approved, UFA grant budget in ELOCCS (the combined budget for all CoC funded projects).

POLICIES

Funds may not be moved between new and renewal grants.

With CoC oversight, CARES (as UFA) may move funds from one existing project to another (regardless of component type) at any point through the close of the contract year.

RCCC Board approval is required for CARES (as UFA) to move funds via a Budget Modification:

From one budget line to another within a single CoC project

From one CoC-funded project to another CoC-funded project within the same agency

(Agencies may not transfer to other agencies unless there is a subcontract in place for the project, otherwise please see the section of the SOP regarding Redirection.)

Any permanent changes in targeted subpopulations, a permanent decrease in number of units, or shifts of a single eligible category of more than 10% in a single contract year is considered a Budget Amendment and requires CoC Board and HUD approval.

BUDGET MODIFICATION REQUEST PROCEDURE

To move funds from one budget line to another within a single CoC project OR from one CoC project to another project within the same CoC-funded agency:

1. The UFA subrecipient (CoC-funded agency) must submit a *Budget Modification Request – Within a Project* (see [Appendix D](#) for template) OR a *Budget Modification Request – Transfer Between Projects* to CARES (see [Appendix E](#) for template).

2. CARES will review the request form and provide a response to the requesting subrecipient within ten (10) business days.
3. Agencies are limited to three modifications per project per year and may only request budget modifications quarterly during the contract year, by the first Thursday in December, March, and June. (Redirected funds do not count toward this limit.)

BUDGET AMENDMENT REQUEST PROCEDURE

To make any permanent changes to targeted subpopulations, number of units served, or monetary shifts of a single eligible category of more than 10% in a single contract year:

1. The Unified Funding Agency (UFA) subrecipient must submit a *Budget Modification Request Form* to CARES for initial review (see [Appendix D](#) for a modification within a project or [Appendix E](#) for modifications between projects).
2. CARES (as UFA) will review the request and, if necessary, will schedule a conversation (via phone or email) within 10 business days.
 - a. Funds affected by the budget amendment will not be paid until the amendment is approved by HUD and funds are shifted within ELOCCS.
3. CARES (as UFA) will inform the Fiscal Advisory Committee of the budget amendment request and request feedback on the changes to present to the CoC Board for approval of moving funds.
4. CARES (as UFA) will provide the RCCoC Board with both details of the request and any feedback received by the Fiscal Advisory Committee.
5. If approved by a majority of the RCCoC Board, CARES will forward the request to the HUD Regional Office.
6. CARES will then notify the CoC Board when HUD approves the amendment request.

POST-APPROVAL PROCEDURE

1. In the event of an approved internal budget modification, fund redirection, or budget amendment, CARES Senior Funding Analyst will email the agency to:
 - a. Inform the agency of approval.
 - b. Provide a new voucher form for each amended grant/project to agencies.
 - c. Provide a contract addendum reflecting approved change/s to the project budget, for signature by the agency.
 - i. The addendum must be signed for the agency to voucher against the new budget.

VOUCHERING

As Unified Funding Agency (UFA), CARES is the direct HUD grantee and therefore responsible for reimbursement to subrecipient agencies for expenses claimed through (properly prepared and approved) vouchers. Per the Interim Rule of 24 CFR 578.85(c)2, the UFA will distribute the appropriate portion of funds to subrecipients within 45 days.

POLICIES

Subrecipient agencies will submit vouchers to request reimbursement for project expenses.

Agencies must voucher each project at least once every 90 days and submit a single voucher containing all expenditures to date for the project since the last voucher submitted.

CARES (as UFA) will not complete or edit any vouchers.

Agencies may submit vouchers at any time, but only properly completed vouchers submitted by the established deadline will receive reimbursement.

Reimbursement of vouchers will occur once per month. The deadline to submit a voucher for reimbursement is **noon (12 pm) on the 20th of each month** or the next business day if the 20th falls on a weekend or holiday. The voucher submission deadline will not change to accommodate incorrect voucher submissions.

If vouchers are properly completed, requested funds will be received by agencies within ten (10) business days.

Agencies will be reimbursed only up to the amount each grant was awarded (as stated in the subrecipient contract). Agencies are responsible for monitoring, preventing, and resolving any overspending. However, if an agency's project is a recipient of redirected funds, the grant budget will be modified to reflect this new amount and the agency can be reimbursed up to this additional amount of the new redirected funds. Similarly, if an agency gives redirected funds to CoC, that agency's budget will be modified to reflect the decrease in the budget and will only be reimbursed up to the new grant budget amount.

PROCEDURES

VOUCHER SUBMISSION PROCEDURE & SCHEDULE

CARES will use an **electronic-only** submission process for vouchers (see [Appendix F](#) to view the voucher template.)

1. At the start of each fiscal year, CARES Senior Funding Analyst will email agencies a voucher form prepopulated with contracted budget details for each CoC project awarded.
 - a. Vouchers will be in an Excel spreadsheet

2. Vouchers must be submitted via email to ROCKLANDUFA@CARES.NY.ORG no later than noon (12 pm) on the 20th of each month.
 - a. If the 20th falls on a weekend or CARES recognized holiday, the deadline will extend to noon on the following business day.
 - b. Any unusual circumstances which may delay voucher submission (e.g., staff illness, facility emergency) must be communicated to the Senior Funding Analyst.
3. Vouchers received after the deadline will be processed the following month.

VOUCHER PROCESS TIMELINE

IF VOUCHERS ARE PROPERLY COMPLETED, requested funds will be received by agencies within ten (10) business days. The process is as follows:

1. **BUSINESS DAY 1-3:** CARES Senior Funding Analyst completes programmatic review of vouchers (in the order received) for eligibility, accuracy, and completion for payment and sends to CARES Finance Team to review fiscal accuracy. CARES Accounting gives CARES Grants & Contracts Manager summary report for ELOCCS and ACH to subrecipients.
2. **BUSINESS DAY 4:** CARES Grants & Contracts Manager processes drawdown from ELOCCS and notifies Senior Funding Analyst and CARES Accounting when complete.
3. **BUSINESS DAY 5-6:** After funds are drawn down from ELOCCS, CARES Grants & Contracts Manager processes payments for each subrecipient through an online banking portal.
4. **BUSINESS DAY 7-8:** Electronic payments/transfers will be processed within two (2) business days after drawdown from HUD
5. **BUSINESS DAY 9-10:** Funds will be available to agencies no later than business day 10 (following voucher submission deadline each month).

PROCEDURE FOR INCORRECT VOUCHER SUBMISSION

Agencies are encouraged to submit vouchers early to allow time for any necessary corrections.

1. IF VOUCHERS ARE NOT PROPERLY COMPLETED, the Senior Funding Analyst will contact the agency to inform and request correction.
2. The agency must resubmit the corrected voucher for payment per the above voucher submission schedule in order to guarantee reimbursement in that month.

REIMBURSEMENT TO AGENCIES

1. CARES will draw down funds once per month from ELOCCS.
 - a. See [Appendix G](#) to view the Unified Funding Agency (UFA) Credit Authorization Form.

2. CARES will transfer the appropriate funds to subrecipients' bank account within ten (10) days of the voucher submission deadline (excluding any incorrectly completed vouchers).
3. Funds will be transferred via ACH direct deposit in a single lump sum to the agency.
 - a. Funds for different budget lines will not be specified.
 - b. Agencies which submit more than one voucher (for multiple CoC-funded projects) will receive the sum of their vouchers in this single fund transfer.

ADVANCE PAYMENT TO SUBRECIPIENTS

1. If the situation arises, sometimes subrecipients may need advance funds prior to the grant funds being available in ELOCCS but after the master contract between CARES and HUD is signed.

For subrecipients to receive an advance, they must submit a letter detailing why the advance is needed, the amount requested, and a guarantee that the funds will be repaid.

Subrecipients may only request rental assistance dollars.

The decision to give any advance payment(s) is at the sole discretion of CARES and its Board of Directors.

VOUCHERS AFTER BUDGET MODIFICATIONS / AMENDMENTS

In the event of an approved internal budget modification, fund redirection, or budget amendment, a new voucher form for EACH altered grant/project will be emailed to agencies to replace their previous voucher form by the Senior Funding Analyst.

IV. REDIRECTION OF FUNDS

With Unified Funding Agency (UFA) designation, the CoC (via the UFA), may redirect funds within and across projects and agencies during a single contract year. Redirecting funds is key to assisting as many clients as possible and reducing the amount of unspent funds which would otherwise be returned to HUD.

FUNDA

FUND REDIRECTION

POLICIES

An Expenditure Timeline & Threshold has been established to serve as a guide to ensure the maximum amount of funds are utilized each year. Note: New projects are afforded additional time to expend funds due to the unique nature of start-up activities (e.g., hiring, construction).

Agencies must promptly share knowledge of anticipated changes in project spending with both the Fiscal Advisory Committee and the Senior Fund Analyst to allow for timely shifting of unspent funds to another qualified project.

When monies are available, redirecting funds will be considered at the start of the second, third and fourth quarters of each contract year, or before if needed, due to unusual or unexpected circumstances (See EMERGENCY REALLOCATION OF Redirected Funds on page 28)

EXPENDITURE TIMELINE & THRESHOLD

The following timeline and spending thresholds will:

- Prompt discussions about spending plans; and
- Inform decisions to redirect funds

Table 1. Expectations for Project Expenditures / Vouchering

Timing	Expected % of Budget Spent	Discuss Spending Plan if Actual % Spent is	Shift Unspent Funds, unless spending plan is enacted (for other project use during the current contract year only)
Close of Q1 (Sept 30)	25%	< 15%	N/A unless agency shares knowledge of anticipated changes in project spending to allow for timely shifting of unspent funds
Close of Q2 (Dec 31st)	50%	< 40%	< 30%
Close of Q3 (March 31 st)	75%	< 65%	< 55%
June 15 th	All budgets will be reviewed prior to final month of vouchering (vouchers for final project costs incurred through June 30 th should be submitted no later than July 20 th)		

ELIGIBILITY CRITERIA TO RECEIVE REDIRECTED FUNDS

To receive redirected funds, an agency must be:

- A currently funded CoC agency who is funded individually by HUD.

- A CoC member in good standing and, if currently or formerly funded, operating without current monitoring sanctions imposed by any of the following: RCCoC Board, Fiscal Advisory Committee, Monitoring and Evaluations Committee, HUD
- If currently funded, meeting, or exceeding spending thresholds for currently funded projects as outlined in the RCCoC Expenditure Threshold Policy & Procedure.

PROCEDURES

PROCEDURE FOR VOLUNTARY REDIRECTION

1. An agency should immediately alert the Fiscal Advisory Committee and the Senior Funding Analyst if it is unable to expend all funds within a contract year. CARES will immediately notify the Board and Redirection of Funds procedures will start immediately
2. The agency must fill out the “Commitment to Redirect Project Funds” form and send to CARES for review and approval.

PROCEDURE FOR INVOLUNTARY REDIRECTION

1. After the first quarter of vouchering is complete, or before if needed, due to unusual or unexpected circumstances (See EMERGENCY REALLOCATION OF Redirected Funds on page 28) CARES will notify agencies of any project under-spending (based on established thresholds).
2. Agencies may provide a verbal explanation or submit a written description of their spending plan for the under-spending project to the Senior Funding Analyst.
 - a. Agencies may also request Technical Assistance (TA) from CARES to improve their spending plan.
3. CARES will review spending plans to determine whether:
 - a. Plans/explanation will resolve the issue.
 - b. TA will improve their spending plan.
4. If a project is unable to explain their spending or develop an adequate spending plan, the Fiscal Advisory Committee will review the situation.
 - a. If the Fiscal Advisory Committee determines the best course of action is fund redirection, the Committee will make this recommendation/s to the RCCoC Board.
5. The RCCoC Board (excluding members with a conflict of interest) will consider the Committee’s recommendation/s and make final decisions.
 - a. If fund redirection is determined, CARES will immediately contact the impacted agency of the Board’s decision.

ENSURING FAIR & EQUITABLE DISTRIBUTION OF REDIRECTED FUNDS –APPLICATION PROCESS

POLICIES

CARES (as UFA) and the Rockland County Continuum of Care (RCCoC) will ensure fair and equitable distribution of redirected funds each contract year by implementing a three-tiered application process including:

- Review Team comprised of 3 individuals chosen by the Rockland County CoC’s Project Performance Evaluation Committee and who have or will not have in the future any financial connection with the UFA or its agencies, to review and score an application developed by the RCCoC Fiscal Advisory Committee
- UFA Fiscal Advisory Committee weighs current community need for additional funding with approved agencies and makes funding recommendation/s to the RCCoC Board; and
- Final decision/s by the RCCoC Board via majority vote, excluding members whose agencies are under consideration to receive redirected funding (i.e., they must abstain from voting).
- Redirected funds given up by an agency that do not end up getting utilized (in full or in part) by another agency are still the responsibility of the original awarded agency.
 - If an agency redirects funds late in the grant year for two or more consecutive years, after being reviewed and receiving technical assistance, it could negatively affect their Rank and Review scores.

PROCEDURES

APPLICATION PROCESS FOR REDIRECTED FUNDS

1. Eligible agencies must submit a Redirected Fund Application (created by the Fiscal Committee and approved by the Board) to the Senior Funding Analyst per specified deadline to be eligible for redirected funds. Eligible agencies may include current or formerly funded RCCoC organizations, so long as the agency is a current RCCoC member in good standing.
 - a. Senior Funding Analyst verifies application is complete and forwards to the Review Team selected by the Project Performance Evaluation Committee each year
2. Review Team scores applications and may conduct interviews with applicants.

3. Application scores, ranking of projects per scores, as well as pertinent spending reports are sent to the Senior Funding Analyst and presented to the Fiscal Advisory Committee for review and recommendation to the RCCoC Board.
4. A CARES representative shares the Fiscal Advisory Committee's recommendations with the RCCoC Board, in addition to application scores and ranking, the quarterly spending report, and the total amount of unspent funds available for transfer.
5. The RCCoC Board (excluding members whose agencies have either given up funds or applied for redirected funds) make final decision on which project/s will receive redirected funds when they become available during the grant year.
 - a. If a Request for Redirected Funds cannot be awarded in full, the request will remain on file for the Board to consider if additional funds become available.

CONTRACT PROCESS FOR REDIRECTED FUNDS

1. CARES will execute a subaward amendment to reflect the approved redirected funding.
 - a. If the subaward amendment is for a CoC funded renewal project, reimbursable expenses are allowed from the beginning of the grant year.
 - b. If the subaward amendment is for a newly created project, reimbursable expenses for these amendments are those that occur on or after the date of the fully executed subaward amendment.
2. Agencies receiving redirected funds are responsible for providing 25% match per 24 CFR 578 for both their original award and for the redirected funds, and as detailed in each Subrecipient agreement.
3. The RCCoC Board may retract funding awarded under the redirect process if the prequalified agency is unable to spend the available funds during the current grant year.

REALLOCATION OF REDIRECTED FUNDS

There may be circumstances that may necessitate a change in approach in order to meet sudden and pressing emerging needs.

- RCCoC reserves the right to reassess the awards of redirected funds in cases of such circumstances and, in conjunction with the UFA and Fiscal Advisory Committee, to reallocate funding to organizations which are most able to meet these pressing, unanticipated emergent needs.

ADDITIONAL NOTES REGARDING REDIRECTED FUNDS

- Releasing project funding for purposes of redirection is a singular event and will not impact future NOFO application requests. For agencies that accept redirected funds, there is no impact on Redirect and/or Rank and Review.

V. PROJECT MONITORING

This section outlines Unified Funding Agency (UFA) Program procedures for monitoring subrecipients and for managing high-risk agencies and poor performers.

FINAL

ANNUAL MONITORING OF SUBRECIPIENTS

POLICIES

In compliance with the CoC Interim Rule, CARES conducts monitoring of subrecipients on an annual basis. Monitoring will include:

1. A minimum of one programmatic monitoring and one fiscal monitoring per grant year. These will typically not happen concurrently.
2. Semi-annual HMIS Data Quality Memos and APR review for each CoC-funded project done by the Monitoring and Evaluations Committee

PROGRAMMATIC REVIEW PROCESSES

To ensure program compliance, the CoC requires subrecipients to actively participate in data and program utilization reviews with the Rockland County Continuum of Care (RCCoC) Monitoring and Evaluations Committee and Collaborative Applicant (CA).

With the assistance of the CA, the Monitoring and Evaluations Committee develops the programmatic monitoring tool each year. The RCCoC Board maintains oversight of the process and receives monthly updates of monitoring visits and outcomes.

The CARES' Compliance Officer conducts project monitoring, which includes a review of program files. A summary of the monitoring (including any findings and/or recommendations for improvements) will be maintained by CARES and subject to review by HUD.

ANNUAL FISCAL AUDIT OF SUBRECIPIENTS

ANNUAL MONITORING

Agencies will be monitored at least annually regarding the financial details of their CoC-funded projects, including back up for at least one submitted voucher.

SOURCE DOCUMENTATION

Source documentation will be reviewed during annual fiscal monitoring.

Acceptable: Invoices, receipts, payroll records, contracts, time sheets, and banking records including cancelled checks. Mileage reimbursements (with adequate detail) are eligible at the federally approved rate.

Not Acceptable: Intra-agency billings (documentation created by an agency for internal use).

POLICIES

CARES (as UFA) must conduct a fiscal audit annually of all CoC-funded agencies to verify subrecipients are compliant with record-keeping protocols and accounting standards.

Fiscal audits for each CoC-funded agency includes reviewing:

1. A sample of CoC program files made available electronically to CARES.
 2. Source documentation for paid vouchers
 3. The agency's managerial and financial controls for CoC funded program(s)
-

SUBRECIPIENT FISCAL AUDIT PROCESS

CARES' Finance Team will conduct a review of subrecipient spending and record-keeping (of CoC funding) to verify:

1. Adequate separation of duties for financial transactions:
2. Grant funds are individually tracked on a general ledger
3. Accounting records reflect the source and use of all funds
4. Accounting records track match
5. Back-up documentation related to vouchers submitted to date (in the current contract term) are complete and accurate
6. If staff wages are charged to more than one funding source, are there timecards or time certifications to support the amounts charged to the grant?
7. Costs charged to the grant all eligible under the program

SINGLE AUDIT MONITORING

CARES will review any findings from subrecipient audits during fiscal monitoring and inquire if findings were resolved or if a plan is in place to resolve them.

If there has been no action to resolve any findings, CARES will work with HUD to determine if the subrecipient should continue to receive funding.

ONGOING FISCAL MONITORING

CARES will review project expenditures during the monthly vouchering process.

Review of vouchers will be performed by the Senior Funding Analyst and Finance Team, to ensure:

- The project's budget items and activities are eligible based on the subrecipient agreement; and
- All costs are reasonable.

FUNDING

MANAGING HIGH-RISK SUBRECIPIENT AGENCIES/PROJECTS

INITIAL ACTION PLAN FOR HIGH-RISK PROJECTS

High-risk projects will be identified by one or more of the following characteristics:

- Projects not currently practicing adequate fiscal management
- Projects with history of expending funds on ineligible activities
- Projects with history of not expending awarded funds per contract details

CARES (as UFA) will work with high-risk projects by:

- Creating an action plan with them.
- Determining a method to track progress
- Conducting regularly scheduled follow-up reviews
- Providing technical assistance (TA) by the Collaborative Applicant, as necessary

CONSISTENT POOR PERFORMERS

After an agreed-upon action plan is enacted, high-risk projects demonstrating no progress or remediation over the course of two (2) consecutive quarters are considered consistent poor performers.

If such projects are not flagged for reallocation during the next NOFA cycle, the project will have an additional quarter to demonstrate progress on their action plan. Otherwise, continued poor performance may result in redirecting of funds and/or significant amendments to the existing contract.

ADDRESSING HIGH-RISK AGENCIES / CONSISTENT POOR PERFORMERS

If a project consistently underperforms, it may be flagged for reallocation consideration.

ANNUAL GRANT CLOSEOUT POLICY & PROCEDURE

At the close of each contract year, the Subrecipient will provide certification via a *Grant Closeout Form* (see [Appendix H](#)) that the grant has been performed according to the terms and conditions of the executed Subrecipient Agreement, and that no known outstanding programmatic or financial issues exist.

F E M N A L

VI. APPENDICES

FINAL

APPENDIX A: GLOSSARY OF COMMONLY USED TERMS

2CFR200: Uniform administrative requirements, cost principles and audit requirements for federal awards

Budget Amendment: a shift in funds from one budget line to another in excess of or equal to 10% of the original HUD approved UFA budget. This only applies to renewal projects; new projects are not allowed amendments.

Budget Modification: a shift in funds from one budget line to another less than 10% of the original HUD approved UFA budget for the grant year. New projects are eligible for modifications.

CARES: CARES of NY, Inc.

CA: Collaborative Applicant

Compliance: Following all requirements within the CoC Program Interim Rule.

CoC Interim Rule provides that the Continuum of Care must abide by certain operational requirements. These requirements will ensure the effective management of the Continuum of Care process and ensure that the process is inclusive and fair.

Section 578.7(6) requires the CoC to monitor project performance, evaluate outcomes (for both CoC and ESG funded programs) and take action against poor performers.

Section 578.7(7) requires the CoC to evaluate ESG and CoC project outcomes and report to HUD. The Operations Committee, alongside the Systems Committee, will consider how project level performance contributes to system level performance.

Continuum of Care (CoC): A network of organizations designated by HUD to oversee homeless assistance grants in a particular geographic area. Each CoC coordinates with homeless assistance agencies in its area to develop annual plans identifying the needs of local homeless populations, the resources currently available in the community to address those needs, and any gaps in resources that could be filled with additional funding.

Continuum of Care Program: The HUD Continuum of Care (CoC) Program is designed to promote community-wide commitment to the goal of ending Care; provide funding for efforts by nonprofit providers, and State and local governments to quickly rehouse homeless individuals and families while minimizing the trauma and dislocation caused to homeless individuals, families, and communities by Care; promote access to and effect utilization of mainstream programs by homeless individuals and families; and optimize self-sufficiency among individuals and families experiencing Care.

HUD: U.S. Department of Housing and Urban Development

Match: The amount of cash or in-kind contributions an agency or program is required to contribute to the CoC Program. The amount required for HUD CoC grants is 25%.

Overhead/Agency Administrative (Indirect) Costs: Costs supporting the entire agency and not directly related to a particular project.

Program Administrative Costs: Costs incurred for the management, oversight, coordination, monitoring and evaluation of a specific project.

Program Costs: Costs that are directly related to project activities.

Renting Up: Per signed contracts, CoC projects receive a specified dollar amount (Rental Assistance) to provide (at least) an agreed upon number of affordable housing units to (at least) an agreed upon number of individuals experiencing Care each contract year. In turn, clients/tenants agree (via housing agreements) to contribute 30% of household income. Based on this formula, projects may forecast excess monthly dollar amounts to fund more units/clients. Certain events (e.g., client's income increases/decreases, client exits program) also impact rent paid out each month – thus 'freeing up' funds for use by another client/s.

Source Documentation: The original record containing details to authenticate each transaction as it is entered into the accounting system.

APPENDIX	B:	UNIFIED	FUNDING	AGENCY
CONTACT INFORMATION				

ADDRESS

CARES of NY, Inc.

200 Henry Johnson Blvd, Suite 4

Albany, NY 12210

CONTACTS

Nancy Harrington, Executive Director
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Eileen Wiebicke, Chief Financial Officer
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Kirstin Jones, Director of Grants and Operations
kjones@caresny.org

APPENDIX C: CoC-FUNDED PROJECT DESCRIPTIONS

NY-606 Rockland County Continuum of Care

Project Listing for Certification of Consistency with the Consolidated Plan 2019

NEW PROJECTS

CARES of NY, INC. (CARES)

1. Rockland County CoC Planning Project (2019)

Project Description: CARES is requesting funding to support the operations of the CoC. Proposed funds will support coordination and facilitation of the CoC's processes, including strengthening the current CoC system, assisting with the development and implementation of a coordinated assessment system, conducting project evaluation and monitoring, conducting an annual gaps analysis and Point-in-Time Count, participating in the Consolidated Plan, and preparing and submitting the CoC's application to HUD.

2. Rockland County UFA Project (2019)

Program Description: CARES is requesting funding to support the Rockland County CoC. The purpose of this project is to complete all of the duties noted within 24 CFR 578.11. Staff funded through this project will work collaboratively with the CoC Board of Directors and soon to be developed Finance Committee to complete the following tasks: (1) apply to HUD for funding for all of the CoC's projects, (2) enter into a grant agreement with HUD and into legally binding agreements with sub-recipients (3) develop policies to monitor and require that sub-recipients establish fiscal controls and review them annually (4) obtain approval from CoC membership in advance of requesting grant amendments from HUD. Staff will work with HUD Regional office to ensure (1) legal agreements with sub-recipients have been entered into in a timely manner, (2) that the organization receives and distributes funds for all projects on a timely manner and (3) that the organization shares administrative funds with sub-recipients. Project staff will ensure sub-recipients establish necessary fiscal controls and fund account procedures and will monitor sub-recipients for compliance with CoC Program regulation annually. In addition, project staff will submit all required reports and audits to HUD.

RENEWAL PROJECTS

ROCKLAND HOSPITAL GUILD INC.

1. Clue Community Housing (2019)

Grant Pin: NY1240

Program Description: Rockland Hospital Guild Inc. (RHG) is requesting funds to support and house those individuals that the program has previously served and intends to prioritize support to people with severe and persistent mental illness. Moreover, we would like to expand this reach to those specifically who are parents and/or families with mental illness.

ROCKLAND COUNTY

2. RC DSS-RRH Program (2019)

Grant Pin: NY0991

Program Description: The Rockland County DSS Rapid Rehousing Program provides rent subsidies for scattered site housing for homeless families. The program assists with providing access to housing, employment, and support services to maintain long-term self-sufficiency. The program provides 2 2-bedroom units. This program helps to fill a gap in long term housing assistance for families until they are able to achieve stability and self-sufficiency. The program seeks to end family homelessness in the County, stabilize families in permanent housing, develop skills for self-sufficiency, and promote financial self-sufficiency. housing, develop skills for self-sufficiency and promote financial self-sufficiency.

3. DSS RRH Combined (2019)

Grant Pin: NY0991

Program Description: The Rockland County Department of Social Services (DSS) seeks funding to continue providing rental subsidies to homeless individuals and families, through its' rapid re-housing programs. The program receives referrals through the Coordinated Entry process, which ensures prospective program participants are prioritized based on the highest vulnerability scores and chronic homelessness.

4. RCDSS-RCCoC PSH (2019)

Grant PIN: NY1178

Program Description: The Rockland County DSS PSH Program will provide 8 Households with PSH programs. Funds requested will be utilized to assist homeless individuals and families who are chronically homeless with a documented disability into permanent housing.

5. RCDSS Coordinated Entry (2019)

Grant Pin: NY1239

Program Description: The Rockland County Coordinated Entry (CE) process is designed to address community need and prioritize applicants for homeless services with the focus on PSH and RRH programs. Many of the County's homeless population suffer from a disabling condition and mental health issues, as documented in HMIS and in recent PIT counts. The target population for the CE project is chronically homeless (as defined by HUD), living with disabilities including mental illness, substance abuse, learning disorders, and other cognitive impairments. The Department of Social Services (DSS) will be the lead agency in CE and is applying for funding to directly support its development and implementation. The grant would fund a dedicated staff member to CE activities, including policies/procedures, records and reporting, community outreach, system review and planning.

CORPORATION FOR AIDS RESEARCH, EDUCATION AND SERVICES, INC. (CARES, INC.)

6. Rockland CoC HMIS (2019)

Grant Pin: NY0535

Program Description: CARES requests funding to support an HMIS program in Rockland County, NY. The Rockland CoC HMIS collects client level data from agencies throughout the county.

Participation in the HMIS is a requirement for all recipients of CoC, Emergency Shelter Grant and/or Homelessness Prevention and Rapid Re-Housing funds.

HELPING HANDS INTERFAITH COALITION FOR THE HOMELESS OF ROCKLAND COUNTY, INC. (HELPING HANDS)

7. Helping Hands - Rapid Rehousing 2 (2019)

Grant Pin: NY1179

Program Description: The Rapid Rehousing Program provides rent subsidies for scattered site housing for singles. The program assists with providing access to housing, employment, and support services to maintain long-term self-sufficiency. This program fills a gap in long term housing assistance for singles until they are able to achieve stability and self-sufficiency. The program seeks to end chronic homelessness in the County, stabilize singles in permanent housing, develop skills for self-sufficiency, and promote financial self-sufficiency.

CENTER FOR SAFETY AND CHANGE, INC.

8. CSC DV Rapid Re-Housing (2019)

Grant Pin: NY1051

Program Description: The Rapid Rehousing Program provides rent subsidies for scattered site housing for families experiencing domestic violence. The program assists with providing access to housing, employment, and support services to maintain long-term self-sufficiency. The project includes 5 units. This program fills a gap in long term housing assistance for families until they are able to achieve stability and self-sufficiency. The program seeks to end chronic family homelessness in the County, stabilize singles in permanent housing, develop skills for self-sufficiency, and promote financial self-sufficiency.

9. CSC DV RRH Combined (2019)

Grant Pin: NY1051

Program Description: The Center's Domestic Violence Rapid Re-housing Project will provide 8 permanent housing units to 8 homeless families (8 adults and 12 children) who are victims of domestic violence (DV) for the duration of a full 12-month period.

APPENDIX D: BUDGET MODIFICATION REQUEST – WITHIN A PROJECT: TEMPLATE

NY503 UFA: Budget Modification - Transfer Funds Between Lines

Grantee: _____
 Grant/Project: _____
 Grant Number: _____

Grant Year: _____
 Current Budget Version: _____

BUDGET LINE	CURRENT APPROVED BUDGET	Modifications		REVISED BUDGET
		DECREASE <small>Show numbers in this column as negative</small>	INCREASE <small>Show numbers in this column as positive</small>	
Leasing	\$ -	\$ -	\$ -	\$ -
Rental Assistance	\$ -	\$ -	\$ -	\$ -
Support Services	\$ -	\$ -	\$ -	\$ -
Operating	\$ -	\$ -	\$ -	\$ -
HMIS	\$ -	\$ -	\$ -	\$ -
Admin Awarded	\$ -	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -	\$ -

Explanation:

Revised Budget to be effective as of date: _____ Revised Budget Version: _____

 Authorized Agency Signatory (Signature) Date

 Authorized Agency Signatory (Print Name/Title)

For UFA-Administrating Agency (CARES) use only:

Denied

Approved

 Authorized CARES Staff (Signature) Date

 Authorized CARES Staff (Print Name/Title)

APPENDIX E: BUDGET MODIFICATION REQUEST – TRANSFER BETWEEN PROJECTS: TEMPLATE

NY503 UFA: Budget Modification - Transfer Funds Between Projects

Grantee: AGENCY NAME Grant Dates: 9/1/2019-8/31/2020
 Grant/Project #1: PROJECT NAME/TITLE Current Budget Version:
 Grant Number: NY000XXXXXXX Budget Effective Date:

BUDGET LINE	PROJECT 1 CURRENT APPROVED BUDGET	Modifications	
		DECREASE IN BUDGET	REVISED BUDGET
		Show numbers in this column as a negative	
Leasing	\$ -	\$ -	\$ -
Rental Assistance	\$ -	\$ -	\$ -
Support Services	\$ -	\$ -	\$ -
Operating	\$ -	\$ -	\$ -
HMIS	\$ -	\$ -	\$ -
Admin Awarded	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

Grant/Project #2: _____ Current Budget Version:
 Grant Number: NY000XXXXXXX Budget Effective Date:

BUDGET LINE	PROJECT 2 CURRENT APPROVED BUDGET	Modifications	
		INCREASE IN BUDGET	REVISED BUDGET
		Show numbers in this column as a positive	
Leasing	\$ -	\$ -	\$ -
Rental Assistance	\$ -	\$ -	\$ -
Support Services	\$ -	\$ -	\$ -
Operating	\$ -	\$ -	\$ -
HMIS	\$ -	\$ -	\$ -
Admin Awarded	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -

Explanation:

Revised Budgets to be effective as of date: _____
 Project #1 Revised Budget Version: _____ Project #2 Revised Budget Version: _____

Authorized Agency Signatory (Signature) _____ Date _____

Authorized Agency Signatory (Print Name/Title) _____

For UFA-Administrating Agency (CARES) use only:		
<input type="checkbox"/> Denied		
<input type="checkbox"/> Approved	Authorized CARES Staff (Signature) _____	Date _____
	Authorized CARES Staff (Print Name/Title) _____	

APPENDIX F: VOUCHER TEMPLATE

NY606 UFA: Voucher/Expense Reimbursement



CLAIM PERIOD START:		CLAIM PERIOD END:	
Corporation for AIDS Research, Education and Services, Inc.			
Grantee:		Grant Dates:	9/1/2020-8/31/2021
Grant/Project:		Current Template Version:	
Grant Number:			

modifications will be reflected in this column.

BUDGET LINE	CURRENT APPROVED BUDGET	CUMULATIVE REIMBURSEMENTS PRECEDING THIS CLAIM	EXPENSES THIS CLAIM	TOTAL EXPENSES TO DATE	REMAINING BUDGET BALANCE
1030 Operating	\$ -	\$ -	\$ -	\$ -	\$ -
1040 Rental Assistance	\$ -	\$ -	\$ -	\$ -	\$ -
1050 Support Services	\$ -	\$ -	\$ -	\$ -	\$ -
1051 HMIS Costs	\$ -	\$ -	\$ -	\$ -	\$ -
1060 Admin Awarded	\$ -	\$ -	\$ -	\$ -	\$ -
1062 CoC Planning Costs	\$ -	\$ -	\$ -	\$ -	\$ -
1064 UFA Planning Costs	\$ -	\$ -	\$ -	\$ -	\$ -
1100 Leasing	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL	\$ -	\$ -	\$ -	\$ -	\$ -

The undersigned certifies that the expenditures shown above are related to the project identified; are just, true and correct, and have been duly authorized; and that all expenditures have been made in accordance with the approved project proposal. Documentation should be maintained by the agency to support these costs.

The user clicks the [Save File] button to save and automatically rename the file.

Authorized Agency Signatory (Signature) _____

Date _____

Authorized Agency Signatory (Print Name/Title)

The Authorized Signatory clicks the [Save File] button when the voucher is complete to save and automatically rename the file.



APPENDIX G: CREDIT AUTHORIZATION FORM

Rockland County Continuum of Care (RCCoC) UFA Subrecipient Direct Credit Authorization

Subrecipients must sign this form to receive funds from the United Funding Agency (UFA).
Please attach a voided check for the account you would like funds transferred to in addition to filling out the form.

Bank Routing Number (ABA Number): _____

Account Number: _____

Authorization:

This agreement authorizes CARES of NY, Inc. to send credit entries electronically or by any other commercially accepted method, to the account indicated and to other accounts we identify in the future (the "Account"). This authorizes the financial institution holding the Account to post all such entries. I agree that the ACH transactions authorized herein shall comply with all applicable U.S. Law. This authorization will be in effect until CARES of NY, Inc. receives a written termination notice from the Subrecipient and has a reasonable opportunity to act on it.

Printed Name **Organization**

Authorized Signature **Date**

Please provide voided check below.

APPENDIX H: ANNUAL GRANT CLOSEOUT CERTIFICATION FORM

Subrecipient: AGENCY
Program Name(s): ENTER ALL PROGRAMS HERE
Grant Number: ENTER ALL GRANT NUMBERS APPLICABLE TO GRANT
Grant Expiration Date: 8/31/xxxx

Description	Amount
Total Grant Amount Authorized	\$
Grant Funds Disbursed	\$
Closeout costs or contingent liabilities to be paid with grant funds after the closeout agreement is signed	\$
Unused grant funds to be returned to UFA	\$
Redirected funds received over and above the contracted amount	\$
Program income on deposit in financial institutions at the time the closeout agreement is signed	\$

CARES of NY, Inc. (CARES) agrees to close out the above referenced grant, subject to the Recipient's certifications and obligations under this Grant Closeout Agreement.

The Subrecipient certifies that:

- (1) The grant has been performed in accordance with the terms and conditions of the executed Grant Agreement, including any Grant Agreement Amendments, the McKinney-Vento Homeless Assistance Act (42 USC 11301 et seq.), the Continuum of Care Program regulation at 24 CFR part 578, and the Subrecipient's approved application.
- (2) There are no known outstanding programmatic or financial issues; and
- (3) All data provided in the table accurately reflects the exact amounts as shown in the subrecipient's financial system.

The Subrecipient agrees to comply with applicable requirements and continuing responsibilities identified in the Continuum of Care Program regulation at 24 CFR part 578, including the program income requirements at 24 CFR 578.97 and the recordkeeping requirements at 24 CFR 578.103. The Subrecipient also agrees to comply with applicable requirements and continuing responsibilities in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR Part 200, including the Post-Closeout Adjustment and Continuing Responsibilities at 2 CFR part 200, subpart F, except where inconsistent with the McKinney-Vento Homeless Assistance Act or the Continuum of Care Program regulations at 24 CFR part 578, in which case the provisions of the McKinney-Vento Homeless Assistance Act and Continuum of Care Program regulations govern. These requirements and continuing responsibilities include those related to the management and disposition of property purchased with Federal funds, retention of and access to records, disallowances of grant payments, and collection of amounts due after closeout. The Subrecipient agrees, if applicable, that any costs paid with funds under this grant that were not audited previously shall be subject to coverage in the recipient's next single audit, performed in accordance with Single Audit Requirements (2

CFR Part 200 Subpart F). The Subrecipient acknowledges that it may be required to pay back the UFA any disallowed costs based on the results of an UFA/HUD audit, or upon additional UFA/HUD reviews.

CARES as UFA or HUD reserves the right to conduct future monitoring of projects funded under this grant, either onsite or by review of information, or copies of documents requested from the Subrecipient. The Subrecipient acknowledges that a finding of non-compliance resulting from such review and failure to take appropriate corrective actions satisfactory to CARES and HUD may be considered as evidence of unsatisfactory performance, in consideration of future grant awards.

Subrecipients that received grant funds for new construction, acquisition, or rehabilitation are required by law to continue for a specified period to operate the housing or provide supportive services in accordance with the requirements of the program under which the grant funds for new construction, acquisition, or rehabilitation were originally awarded. The housing or supportive services provided by recipients of grants originally awarded under the Supportive Housing Program must continue to comply with the requirements of 24 CFR part 583 for a period of 20 years from the date of initial occupancy or date of initial service provision, even if the grant was subsequently renewed in the CoC program. The housing or supportive services provided by recipients of grants awarded under the Continuum of Care Program must continue to comply with the requirements of 24 CFR part 578 for a period of 15 years from the date of initial occupancy or date of initial service provision.

Yes No

This Grant Closeout Agreement incorporates the attached special conditions.

Agency Representative Signature Date

CARES of NY, Inc. Signature Date

Printed Name of Authorized Representative

CARES of NY, Inc. Representative

Title

Title

FINAL