## **Emergency Solutions Grant Program**

## **2020 Application Instructions/Tips**

### Program Application Guidelines and Submission Requirements

All grant applications must be submitted electronically through the ODOC OKGrants Grant Management System. Here is the link to the grant site which includes the grant application and registration instructions:

<https://grants.ok.gov/>

In the instance of a unit of general local government or CAA applying on behalf of more than one shelter, separate applications must be submitted for each shelter. Applicants may present multiple funding requests in a single application. When this occurs, answer the application questions associated with the highest level Tier for which funding is requested and list all Tiers the applicant is applying for under the appropriate application questions. Only one application per shelter will be accepted.

If you are new to applying through the OK Grants System, please review the following Instructions for the new User:

<https://www.okcommerce.gov/assets/files/grants/assistance/OKGrants_for_New_Users.pdf>

### The following is the timeline of deadlines for the 2020 ESG Grant Program:

|  |  |
| --- | --- |
| Date | Description |
| Thursday, April 2nd , 2020 | Mandatory Application Workshop **CANCELED** |
| APRIL 6, 2020 | COC Documentation of any changes that have been made regarding additional requirements to the grant amounts, additional requirements, etc. |
| April 6 – May 29, 2020 | Applications entered into OK Grants |
| APRIL 30, 2020 | CoC Lead Agency Submits copy of PIT Count Data HDX Report to ODOC |
| MAY 28, 2020 | CoC Lead Agency Submits Reviewer Volunteers |
| 5:00 pm May 29, 2020 | Application must be submitted into OK Grants |
| Thursday, June 4, 2020 | Application Reviewer Training Webinar |
| June – July, 2020 | Continua score, rank and recommend  |
| JULY 31, 2020 | CoC Lead Agency Submits updated CoC Governance Charter and Policies |
| August – September, 2020 | ODOC verifies eligibility of potential subrecipients |
| Second Week of September, 2020 | Approximate Date for Award Notification |
| SEPTEMBER 30, 2020 | CoC Lead Agency Submits copy of most current EXIBIT ONE (1) showing name of Lead Agency or member agency who submitted application |
| October 1, 2020 | ESG 2020 Contract Start Date |
| September 30, 2021 | ESG 2020 contract end date. All funds must be expended by this date. |
| November 30, 2021 | ESG 2020 Closeout Documentation and Annual Report Due to ODOC. |

### Planning/Writing Tips:

As planning and writing of the Grant takes place over the next few weeks, please keep the following ideas in mind:

* Ask your accounting staff for their help creating the budget. Revisions are strongly discouraged once the contract is in place. Revisions are only approved for catastrophic unplanned changes to the program or greater need for housing assistance.
* The applicant must have a current audit submitted and approved by ODOC before a contract can be executed. Audits must include match dollars required by the program.
* VERIFY THAT YOUR APPLICATION IS SUBMITTED BY THE DUE DATE. Do not assume that you clicked on the submit button. Double check before the deadline…
* Ultimately, knowing the regulations and procedures is YOUR responsibility.

### Here are the priorities that need to be taken into consideration when developing your ESG program:

* Emphasize Rapid Re-Housing
* Help people quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness
* Broaden existing emergency shelter and homelessness prevention activities
* Enhance alignment of ESG regulations with other HUD programs; including CDBG, HOME and Housing Choice Voucher (HCV)
* Support more coordinated and effective data collection, performance measurement and program evaluation.

### The minimum requirements for an organization to be eligible to apply for the program are:

* Competitive program funds used to provide services to clients who meet the HUD definition of homelessness
* Must be an active participant of local Continuum of Care
* Must use the HMIS database to track client services
* 100% Match of grant funds
* Must Register in SAMS.gov
* New Potential Applicants must have a Sponsor to apply for ESG funds for the first time (Have not applied for funds in 2 years).
* Nonprofits can apply directly if they have a yearly Independent Audit (including Match) every year or they can choose to have a sponsor (Local or County Government or Community Action Agency)

### CHANGES TO THE 2020 APPLICATION

* Select for Award – ODOC right of refusal/rejection
	+ The State has the right to reject an application if a majority of proposal/budget includes ineligible expenses.
	+ Distribution/Redistribution of non-awarded funds if there are remaining funds from current completion.
	+ ODOC reserves the right to recapture any administrative funds not budgeted by the awarded subrecipients equal to the maximum spending requirement allowed by HUD regulations.
* Continuum of Care Scoring Process
	+ There will be three (3) reviewers assigned to every eligible application. The two (2) highest scores will be averaged for the CoC Governing Board to use to make final funding recommendations.
* Requirements for CoC Annual Public Meeting
	+ A meeting notice must be posted in the local paper and Collaborative Applicant’s (CoC Lead Agency) Website
	+ The meeting agenda must be posted at all CoC’s members’ offices and shelters, the site of the location and at the CoC’s Lead Contact’s Offices a minimum of 48 hours before the meeting.
* Additions to Forms and Questions:
	+ ODOC now requires an HMIS or Comparable Database Data Quality Report for the last 12 months
	+ This report must be uploaded along with other required forms and documentation onto the Uploads page in OK Grants.
	+ Points will be associated with level of data quality reported.
	+ A new question has been added asking applicants to describe the training that ESG staff receives to improve quality of service for the program and participants. The question also asking whom in the organization receives training such as SOAR, ADA compliance training, Housing first, trauma-informed care, evidenced-based case management practices, etc.

### Risk Assessment Requirement (2 CFR 200.205)

New federal regulations require that a pre-award risk assessment be performed on the applicant to evaluate any program/financial risks. Depending on the result, risk levels of Low, Medium or High will result in normal management of awarding funds to special conditions added to contract depending on the severity of the risks assessed by awarding funds.

Questions have been added to the bottom of the Project Narrative Exhibits form in OK Grants. The assessment questions do not receive points by reviewers during the scoring. These questions will be reviewed during the Risk Assessment Period.

### Continuum of Care

### Distribution:

Funds will be allocated to each of the 7 rural (Non-ESG Entitlement) CoC’s. The allocation to Tulsa County CoC is to award funds to agencies that serve the area outside of City of Tulsa. Members of each Continuum will score and rank submitted applications. The Lead agency will submit a letter with their recommendations for Awards. ODOC will then verify that each recommended applicant is eligible for the grant and contract directly with the recommended applicant.

### Continuum of Care Governance:

Each CoC has the authority to set policies that amend the grant requirements to best fit the success of their local Action Plan. This includes making changes to the application minimum awarded, funding levels awarded, additional criteria, etc. Each applicant must also look to their CoC for specific instructions set by that CoC.

### ELIGIBLE PROGRAM PARTICIPANTS found on page 12

In order to receive financial assistance or services funded by ESG, individuals and families—whether homeless or housed—must at least meet the following minimum criteria: 1. The household must be at or below 30 percent of Area Median Income (AMI). Income limits are available on HUD’s web site. a. When the household is literally homeless, the below 30% AMI Income limit cannot be used to determine approval for assistance. At the time the household is re-assessed or reevaluated for continued or extended assistance is when the household cannot make above 30 percent Area Median Income (AMI). 2. The household must be either homeless or at risk of losing its housing and meet both of the following circumstances: a. no appropriate subsequent housing options have been identified; AND b. the household lacks the financial resources and support networks needed to obtain immediate housing or remain in its existing housing.

### Categories of Homelessness (24 CFR Parts 91 and 578)

Category 1 – Literally Homeless

Category 2 – Imminent Risk of Homelessness

Category 3 – Homeless under other Federal Statutes

Category 4 – Fleeing / Attempting to Flee DV

### The following are Ineligible Costs:

* Anything that is not listed as an eligible cost in the Regulations.
* There is no more flexibility with “innovative” solutions verbiage.

### The following is a summary of Eligible Activities (Title 24, Part 576)



### Eligible Activity details can be found on pages 13-24

* Street Outreach (24 CFR 576.101)
* Emergency Shelter (24 CFR 576.102)
* Housing Relocation & Stabilization Services (24 CFR 576.105)
* Rapid Re-Housing (24 CFR 576.104)
* Homeless Prevention (24 CFR 576.103)
* HMIS (24 CFR 576.107)
* Administration (Max 3.75%) (24 CFR 576.108)

### Standards (24 CFR 576.400) found on pages 24-27

Each ESG subrecipient must establish written standards for providing ESG assistance. Returning applicants much submit documentation that the Program’s Written Policies and Procedures have been reviewed by the Staff and Board at least once a year. Documentation must include a Board Agenda showing the Policies/Procedures as an Agenda item as well as the minutes produced from the meeting showing the discussion and approval of the Policies/Procedures from the Board. New subrecipients must have an established set of Policies and Procedures within ninety (90) days of receiving their ESG Award letter. The new subrecipient must submit a copy of the written Policies/Procedures, Board Agenda showing the Policies/Procedures as an Agenda item as well as the minutes produced from the meeting showing the discussion and approval of the Policies/Procedures from the Board.

### Other Federal Regulations

An Applicant must be in compliance with the following Other Federal Regulations in order to receive grant awards: (Found on pages

* Nondiscrimination and Equal Opportunity
* Title VIII of the Civil Rights Act of 1968
* Requirements of the Fair Housing Act
* EO 11063, as amended by EO 12259
* Section 504 of the Rehabilitation Act 1973
* EO’s 11246, 11375, 11625, 12432 & 12138
* Section 3 of the HUD Act of 1968
* Uniform Federal Accessibility Standards at 24 CFR 40, Appendix A for major rehabilitation or conversion

### Performance Measures (System Performance Measures, May 2015) found on pages 10-11

1. Track the Extent to which Persons who Exit Homelessness to Permanent Housing Destinations Return to Homelessness within six (6) to twelve (12) months

**Explanation**: This measure begins with clients who exited a permanent housing destination in the date range two years prior to the report date range. Of those clients, the measure reports on how many of them returned to homelessness as indicated in the HMIS system for up to two years after their initial exit.

1. Track total number of Homeless Persons served.

**Explanation**: A) Counts of clients using PIT count data. This data should be manually entered from the appropriate point-in-time count data previously submitted. Due to ever-changing data, it is often difficult or impossible to run the same query months later and return the same results. Thus, this metric is not intended to be programmed into the HMIS as part of the System Performance Measures Report. B) Counts of clients using HMIS data. Using HMIS data, determine the unduplicated counts of active clients for each of the project types throughout the reporting period.

1. Track Employment and Income Growth for Homeless Persons in ESG Program-funded Projects.

**Explanation**: This measure is collected by six (6) tables in HMIS. The project types reported are divided by type of income and universe of clients differ.

1. Track number of Persons who become homeless for the first time.

**Explanation**: This measure tracks clients entering in Emergency Shelter, Safe Haven and Transitional housing.

1. Track Homeless Prevention and Housing Placement of Persons Defined by Category 3 of HUD’s Homeless Definitions.

**Explanation**: All numbers tracked are limited to all persons in projects serving Category 3 homeless.

1. Track successful placement from Street Outreach and Successful Placement in or Retention of Permanent Housing.

**Explanation**: This measure tracks A) leavers who exited during the report date range and how many of those exited to an acceptable destination; B) tracks leavers who exited emergency shelter, supportive housing, transitional housing and permanent housing-rapid rehousing.

### Financial Requirements (ESG Manual Req 704 Financial Management)

The accounting system and procedures must provide accurate, current and complete disclosure of the financial results of the ESG program. Records must maintain that adequately identify the source and application of funds for each ESG-supported activity, including all applicable matching funds. Internal controls must be established to eliminate fraud and abuse. The accounting system used by the Applicant must be acceptable by US general accounting system Spending Requirements[24 CFR 576.203 (B), 24 CFR 576.500 (U).

If Grant funds are not spent by the required timeframe, the remaining funds will be recaptured and redistributed to other subrecipients. The following spending timelines are as follows:

* 50% of the grant funds must be spent or obligated within the first six (6) months of the contract.
* 75% of the grant funds must be spent or obligated within nine (9) months of the contract.
* 100% of the grant funds must be spent within twelve (12) months of the contract.

### Match Requirement (24 CFR 576.201, 24 CFR 576.500) found on page 29

Here are some examples of match that can be used with the ESG Program:

* Cash
* The value or fair rental value of any donated material or building (in-kind)
* The value of building lease
* Salary paid to staff to carry out the
* program of the recipient
* Volunteer time (@ $5/hour) (Specialty services such as Lawyer, Doctor can be figured at market rate)
* Responsibilities:
* Contractor may either provide the supplemental funds itself; or
* Through supplemental funds or voluntary efforts provided by a nonprofit recipient.

Some examples of documentation that can be used for match are:

* Timesheets, payroll records and other personnel-related documents.
* Building or material donation agreements, appraisals and appraisal methods.
* Bank statements and other accounting records used to document disbursement of cash match
* Cash Match can only be used for ESG Eligible activities
* Documentation of Match must be recorded on a monthly basis.
* Match reporting must be included in Applicant’s software system
* Match funds and expenditures must be included in the annual audit

### Audits (2 CFR Part 200.500)

The Applicant must have a completed Audit that has been reviewed and cleared by the ODOC Audit Specialist before any funds can be awarded. Match is a contractual requirement of ESG and must be reported in the audit for both revenue and expenditures. Sponsors of organizations providing ESG services are responsible for including the ESG funds and Match in their agency’s audit.

### Reporting (24 CFR 576.400, 401 & 500) found on page 30

Monthly Progress Reports must be submitted and uploaded with the Monthly Claims Reports. All Progress Reports must come from the HMIS System (DV Shelters exempt from entering data into HMIS). DV Shelter data must come from a Comparable System that provides all HMIS Standard required data elements and can produce reports in the format required by HUD.

### SAGE Implementation (Sage ESG CAPER Guidebook, September 2018)

SAGE is the online portal for the submission of aggregate, de-identified data from HMIS or comparable databases via a Comma Separated Value (CSV) import. The Office of Housing and Urban Development (HUD) requires all ESG subrecipients to upload their CAPER report from HMIS into this database. SAGE replaces the former eCart database system. All Applicants who receive ESG funds will be required to upload Performance Report data to the SAGE System.

Domestic Violence (DV) Shelters are not exempt from providing required aggregate data to upload into SAGE. The comparable system that the Domestic Violence Shelters are using must be able to create a CSV file needed to upload to the SAGE system.

Any Applicant, including DV, that is not capable of producing a CAPER report in a CSV format will be considered out of compliance with the Data Collection and Reporting Requirement. “Out of Compliance” will mean ineligible to apply for ESG funds.

OK Grant Forms

(Checklist on page 35)

❑ Application Summary (Form 424)

❑ All required responses Section I through Section V

❑ Budget Detail

❑ Budget Summary (Save Only)

❑ Budget Narrative

❑ Match / Additional Funds Certification Form (Match availability must be dated for contract period Oct 1st – Sept 30th)

❑ Audit

Application Forms; Signatures required Upload to Uploads Page

❑ Program Certifications and Assurances, which includes:

❑ Section I. Applicant Assurances

❑ Section II. Program Certifications (formerly ODOC 6)

❑ Section III. Drug-Free Workplace (formerly ODOC 7)

❑ Section IV. Anti-Lobbying Certification (formerly ODOC 8)

❑ Applicant/Recipient Disclosure/Update Report

❑ Certification of Consistency with Consolidated Plan HUD 2991

❑ Environmental Review Record for Exemptions/Release of Funds

❑ Required forms for Units of General Local Government

❑ Local Government Certification

 -Or-

❑ Required forms for Community Action Agency (CAA) or Independent Nonprofit

❑ Private Non-Profit Certification

❑ Certification of Local Government Approval for Nonprofit Organizations

Required forms

❑ System for Award Management (SAM.gov) PDF Search Verification of Non-DeBarred Status

❑ Continuum of Care Agreement for HMIS Data Entry

❑ Continuum of Care Lead Agency Participation letter

❑ Documentation showing proof of Annual Board Review of ESG Written Policies and Procedures

❑ HMIS or Comparable Database Data Quality Report for the last 12 months

❑ In the case of a Community Action Agency, a signed letter must be submitted by the Unit of Local Government assuring that they will perform the environmental review.