Emergency Solutions Grant: Overview and Implementation

Sponsored by
Division of Housing Stabilization Division, DHCD and HUD
Facilitated by Cloudburst Consulting

August 20, 2012

Agenda

- Overview of DHCD Homeless Services Delivery
- Review of Eligible Activities
- Data Collection
- Site Visits and Monitoring
- Other Program Requirements
- DHCD Invoicing
- Wrap-Up and Evaluation

Today's Objectives

- Increase understanding of Emergency Solutions Grants Program (ESG)
  - Eligibility and documentation
  - Reporting requirements
  - Meeting the expectations of HUD and DHCD
- Understand how ESG relates to the rest of the Massachusetts Homeless Service Delivery System
- Ensure that the Statewide implementation is effective and coordinated between State and community partners

Welcome and Overview of DHCD Homeless Services Delivery

Bob Pulster, DHCD, Associate Director,
Division of Housing Stabilization

Ita Mullarkey, DHCD, Asst. Director,
Policy Planning and Special Projects

Emergency Assistance Reform

The FY13 state budget established EA eligibility categories as follows:

- Domestic Violence
- Homeless due to fire, flood or natural disaster
- Eviction through no fault
- Substantial health or safety risk to a non-primary tenant

HomeBASE Program

- New family households must be determined EA eligible by a DHCD Homeless Coordinator before receiving shelter and/or a HomeBASE benefit

- Offers Financial Assistance for EA families to exit shelter or to avoid shelter placement

- HomeBASE is a benefit to EA eligible families for:
  - Shelter Diversion
  - Rapid Re-Housing from Shelter

- HomeBASE Rental Assistance continues to support all FY12 HomeBASE families along with stabilization services

HomeBASE Household Assistance

- Flexible use helps families rapidly exit shelter & stabilize in housing for 12 months:
  - First, last and security deposit
  - Utilities
  - Child care
  - Prorated share of host family's rent
  - Car repair

- Household Assistance can be used for short term rental support and does not require a lease so the benefit can be split across months
  - Includes a 12 month stabilization case management benefit
  - Benefit available once in a 12 month period
  - Only third party payments allowed so no cash payments directly to family

Residential Assistance for Families in Transition (RAFT) Prevention Program

- Administered by Regional Housing/Administrative Agencies (RAAs)

- New RAFT is open to families w/child(ren) age 21 or younger and pregnant heads of household
  - 90% of funds to families w/income up to 30% of AMI
  - 10% of funds to families w/income 30% to 50% AMI

- Targeted to families most likely to become homeless using risk indicators based on empirical and national data

- Family assessment will determine intervention

- Offers flexible financial assistance up to $4,000 in a 12 month period

Homeless System Planning Technical Assistance for FY13

Judy Perlman, Cloudburst Consulting Group

- Year-long training, facilitation and peer-learning
- Objectives:
  - Build understanding of evolving state and federal systems and resources
  - Assist DHCD's efforts to streamline and align program operations; and
  - Support data-driven planning

Emergency Solutions Grant: Basics

Eligible Activities

- Street Outreach
- Emergency Shelter Services & Operations
- Shelter Rehab and Renovation
- Rapid-Rehousing
- Homelessness Prevention

Handouts

HUD Publications

- *ESG Fact Sheet*: http://www.hudhre.info/documents/EmergencySolutionsGrantsProgramFactSheet.pdf
- *Homeless Eligibility Definitions*: http://www.hudhre.info/documents/HomelessDefEligibility%20_SHP_SPC_ESG.pdf
- *At-Risk of Homeless Definitions*: http://www.hudhre.info/documents/AtRiskofHomelessnessDefinition_Criteria.pdf
- *Homeless Criteria and Record-Keeping*: http://www.hudhre.info/documents/HomelessDefinition_RecordkeepingRequirementsandCriteria.pdf
- *Homelessness Prevention and Rapid Re-Housing Assistance A Comparison of HPRP and ESG Requirements:* http://www.hudhre.info/documents/HPRP_ESG_Comparison.pdf
- See also: www.HUDHRE.info, search 'ESG'

DHCD ESG Material

- *ESG services detail: All HUD Eligible Costs for each ESG Component*
- *All ESG documentation requirements for each ESG Component*
- *ESG Shelter and Housing Standards Checklist*
- *DHCD invoice forms and instructions*

Eligible Activities: Street Outreach

- *What Is It:*
  - Services related to reaching out to unsheltered individuals and families, including connections to care, case management, emergency health services and transportation

- *Who Is Eligible:*
  - Any unsheltered individual or family

Eligible Activities: Street Outreach

- *Documentation:*
  - Homeless Status: written verification by outreach staff
  - Assessments, including HMIS data collection
  - Case notes: Referrals and Follow-up activities
  - Staff time records
  - Financial Records: costs and payments charged to ESG

Eligible Activities: Emergency Shelter Services and Operations

- *What Is It?*
  - Essential Services to emergency shelter residents, including
    - Case Management
    - Childcare
    - Employment Assistance
    - Life Skills
    - Behavioral Health Services
  - Shelter Operations, including Maintenance, Leasing, Insurance, Utilities.

- *Who Is Eligible?*
  - Category 1: Literally Homeless
  - Category 4: Fleeing/Attempting to Flee DV
  - NO income threshold at intake for this activity

Eligible Activities: Emergency Shelter Services and Operations

- *What is required for documentation and record keeping?*
  - Verification of status as Literally Homeless
  - Complete HMIS records
  - Service delivery notes of meetings, services provided and referral and follow-up activities
  - Staff time records documenting time spent on ESG
  - Financial records/ backup for invoicing

Eligible Activities: Shelter Renovation and Rehabilitation

- *What Is It?*
  - Renovation, rehabilitation and/or conversion of a building to serve as an emergency shelter.
  - Site must serve target population for either 3 or 10 years, depending on costs.
  - Costs include labor, materials and soft costs

Eligible Activities: Shelter Renovation and Rehabilitation

- *Documentation:*
  - Value of the building before renovation/rehab
  - Value of the building after conversion
  - Financial records showing costs charged and paid against the grant
  - Financial records showing costs charged and paid through match funds
  - Recorded Lease or Deed Restriction
  - Staff time records

Eligible Activities: Homelessness Prevention

- *What Is It?*
  - Financial Support and Stabilization Services to prevent individuals and / or families from becoming homeless
  - Financial Support includes:
    - Rental Application Fees
    - Security Deposits
    - Last Month's Rent
    - Moving Costs
    - Utilities
  - Short- (up to 3 months) or Medium Term (up to 24 months) Rental Assistance
  - Participants must meet with case manager at lease once a month
- *Who Could Be Eligible?*
  - Category 2: Imminent Risk of Homelessness
  - Category 3: Homeless Under other Federal Statutes
  - Category 4: Fleeing/Attempting to Flee DV
  - At Risk of Homelessness – Categories 1, 2, and 3
  - Documented need for resource at intake AND no other financial resources or support networks available
  - At or below 30% AMI

Eligible Activities: Homelessness Prevention

- *What is required for documentation and record keeping?*
  - Verification of At-Risk Status and reasons
  - Verification of Income (discussed in afternoon)
  - Assessments, including assessed need at intake, lack of other resources, HMIS and quarterly re-evaluation
  - Service delivery notes description of services, payments, referrals, follow-up activities and monthly meetings
  - Staff time records, habitability checklists
  - Financial records of payments charged to ESG Rental Assistance (covered in afternoon session)

Eligible Activities: Rapid Re-Housing

- *What Is It?*
  - Financial Support and Stabilization Services to re-house individuals or families
  - Financial Support includes:
    - Rental Application Fees
    - Security Deposits, Last Month's Rent
    - Moving Costs
    - Utility Deposits and Utility Payments (up to 24 months, including 6 months arrearage)
  - Short- (up to 3 mos.) or Medium Term (up to 24 mos.) Rental Assistance
  - Services:
    - Rapid Re-housing services can only be provided for 30 days (while homeless)
    - Housing/Stabilization services must occur at least monthly, for 12 months

Eligible Activities: Rapid Re-Housing

- *Who could be Eligible?*
  - Category 1: Literally Homeless, individuals and families
  - Assessed need for resource based on intake screening
  - NO income threshold at start
  - Must be re-assessed at 12 months, income must be = or <30% AMI, AND must have no other financial resources and support networks
  - HMIS Intake and assessment must still be completed.

dhcd Massachusetts

Eligible Activities: Rapid Re-Housing

- *What is required for documentation and record keeping?*
  - Documentation of Literally Homeless Status by shelter or outreach staff and institution staff where applicable.
  - Complete HMIS records
  - Service Delivery Notes documenting Rapid Re-housing services
  - Staff Time Records documenting Rapid Re-housing work hours
  - Financial Records including back up for all payments made; invoices documenting costs incurred
  - Rental Assistance (covered in afternoon session)
  - Lease or rental agreement between owner and ESG participant
  - Documentation of 'rent reasonableness'
  - Completed Habitability and lead paint check-list
  - Documentation of monthly stabilization meetings

Data Collection and Reporting

- All ESG participants must have a complete HMIS record including:
  - Intake
  - Mid-term assessments (quarterly or semi-annually, depending on component)
  - Exit assessment

- Every ESG sub-recipient must have complete HMIS data in whatever HMIS system that is used by the Continuum / Entitlement community that is providing the funding

- If a sub-recipient from an entitlement community is using the DHCD ETO/ ASIST system, we will work with the CoC to get the data to them

- If a DHCD sub-recipient is using a system other than ASIST, we will work with you and the CoC to get the HMIS data into ASIST for reporting
  - Need to know the exact HMIS program name how the data will get to us

Data Collection and Reporting

- Client-level record keeping
  - Individuals or families served by an ESG program must be maintained in a "unique" HMIS program within your HMIS system
  - If the program already uses HMIS and the ESG will serve the entire population, check that all data elements are included, then … all set!
  - HMIS records from sub-contractors and lead agencies can be combined for reporting
    - Lead agencies are responsible for ensuring that within its contract, ESG participants are only accessing resources from one organization

Data Collection and Reporting Performance Standards

- None of the instances of ETO at this time allow for a historic audit trail through HMIS that is acceptable to HUD to document homeless status
  - DHCD has raised this concern with the ETO developers

Tracking and Reporting: HMIS

- HUD requires "program level" & "universal" data elements
- Universal Elements *(all that HUD requires for shelters):*
  - Name
  - Social Security #
  - Date of Birth
  - Race
  - Ethnicity
  - Gender
  - Veteran Status
  - Disabling Condition
  - Residence Prior to Program Entry
  - Zip code of last permanent address
  - Housing Status
  - Program Entry Date
  - Program Exit Date
- Program Elements *(required for ESG)*
  - Income and Sources
  - Non-Cash Benefits
  - Physical Disability
  - Developmental Disability
  - Chronic Health Condition
  - HIV/ AIDS
  - Mental Health
  - Substance Abuse
  - Domestic Violence
  - Destination
  - Date of Contact

Tracking and Reporting

- DHCD ESG Contractors will have to report using ASIST
  - Either directly or through syncing ETO instances or uploads for xml
  - DHCD will work with each of its contractors/ subcontractors directly to ensure that ETO sites are set up appropriately
- Entitlement Communities that have Contractors / Subcontractors that use ASIST for HMIS
  - We will work with communities and providers to meet reporting requirements to HUD and the CoC
- Its all in the set-up!

DHCD's Vision for HMIS

- As Federal and State reform is implemented, HMIS is the common language
  - DHCD's vision includes supporting these linkages

- Goals:
  - Minimize burden for agencies / reduce redundancy
  - Maintain compliance with all funding sources through reporting
  - Support operations when linking client records makes sense

Panel Discussion
Site Visits and Monitoring:

- Representative to be named, HUD Boston Field Office
- Brendan Goodwin, DHCD
- Lynne Chapman, Pine Street Inn
- Nicole Fitzgerald, Father Bill's and Mainspring

ESG Monitoring Key Elements

- Policies and Procedures
  - Determining and documenting eligibility
  - Administering financial assistance
  - Providing service/activity
- Documentation of Participant Eligibility
  - Homeless/At-Risk Status
  - Income
- Documentation of Assessed Need
  - Assessments
  - Lack of other resources
- Activity-Specific Documentation
  - Case notes with services, referrals, etc.
  - Rental documentation
  - Utility records
  - Writ of Summary Process & Complaint
- Data Collection/HMIS Data Sets
- Staff Time Records
  - Detailed, signed, ESG time tracked
- Financial Documentation
  - Back-Up documents for all program expenditures
- Match
  - 100% of award matched with documented cash or leveraged resources: **track expenditures**
  - Recipient (city/state) can provide the match to HUD and/or share match requirement with sub-recipients

Eligibility Documentation

- Document Types, in order of preference:
  - First: Third-party documentation
  - Second: Intake worker observations
  - Third: Self-certification by applicant

- Discharge data preferred

Other Program Requirements

- Income Eligibility
  - *Some* activities require documentation of annual household income at or below 30% of Area Median Income (AMI), using 24 CFR 5.609
  - AMI varies from locale to locale
  - AMI data can be found at: http://www.huduser.org/portal/datasets/il.html
  - Income Calculation: Several 'Part 5' income calculation documents can be found by searching 'Income Determination' on www.hudhre.info
  - Consult Income Eligibility Slides at: http://www.hudhre.info/documents/DeterminingParticipantStatus_12.20.11.pdf

Other Program Requirements

- <u>Short and Medium-Term Rental Assistance</u>
  - Lease Requirements
    - All assisted units must be documented by a lease
    - Project-based rental assistance leases must have an initial term of one year
  - Rental Agreement Between Provider and Property Owner
    - Sets forth terms under which assistance will be provided by provider to owner on behalf of the participating household

- Shelter & Housing Checklist

  - Other Subsidy Restrictions
    - No rental assistance can be provided to a household receiving rental assistance from another public resource (e.g. Section 8 or public housing, etc.), *except for 6 months arrears of the tenant portion of the rent*

Other Program Requirements

- <u>Short- and Medium-Term Rental Assistance</u>
  - Habitability Standards
    - Documentation: Completed Habitability checklist for unit in client/assistance record
  - Fair Market Rent (FMR)
    - Assisted units must be at or below FMR for area and unit size for rent + utilities
    - FMR's can be found at: http://www.huduser.org/portal/datasets/fmr.html
  - Rent Reasonableness
    - Documentation that unit rent is reasonable in relation to comparable units
    - Documented with data on file for comparable units (size, location, rent amounts)

Other Program Requirements

- <u>Short and Medium-Term Rental Assistance</u>
  - Lead Paint (see DHCD checklist)
    - All assisted units must meet federal lead paint requirements if
      - unit constructed before 1978 **and**
      - child under 6 will be/is residing in unit
    - Documentation:
      - Verification of age of structure
      - Visual assessment & paint surfaces not chipping cracking or peeling (Shelter & Housing Standards Checklist)
      - Verification that the unit has been de-leaded or paint encapsulated from MA approved de-leading vendor

Habitability Checklist

- Shelter and Housing Standards Checklist

Addresses both the habitability standards and the lead paint standards.

If a unit does not meet any one of the standards on the checklist don't use unit

Standards are all from HUD Interim Rule language

Other Program Requirements

- Termination of Assistance
  - May terminate assistance if rules of program violated
  - Termination must be preceded by a due process, including:
    - Written notification and clear statement of reasons
    - Opportunity to appeal to a third party
    - Prompt appeal response
  - Termination should only happen 'in the most severe cases'

ESG Billing Procedures

- ESG billing consists of 2 or 3 (as applicable) state approved forms:
  - Payment Voucher Input Form **(PV)**
  - Monthly Expenditure Report **(MER) and;**
  - If the PV includes payroll costs, Personnel Summary Report **(PSR)**

- Submit by the 10th of the month after the service delivery month to:

  Jill Cannon, ESG Contract Manager
  DHCD
  100 Cambridge Street, 3rd Floor
  Boston, MA 02114

- Excel worksheet e-mailed tomorrow with the 3 forms.
- Prepopulated with data that remains the same every month
- Formulas do the addition/subtraction for you.

Please use these forms when submitting PVs.

Invoices with Incorrect or Missing Data

- Incorrect/incomplete invoices can't be processed. Call Jill Cannon with any questions before submitting.
- DHCD staff not authorized to make changes to a contractor's invoice. Corrections must be made by contractor, who resubmits the invoice.
- HUD requires ESG Recipients to pay ESG Sub-recipients within 30 days of receiving a complete/ accurate invoice.

PAYMENT VOUCHER INPUT FORM

THE COMMONWEALTH OF MASSACHUSETTS

OFFICE OF THE COMPTROLLER

DEPARTMENT / ORGANIZATION NAME
Department of Housing & Community Development

DOCUMENT ID

TRANS	DEPT	R/ORG	Number	PV Date	Acct Prd	BFY
PV	OCD	8000		08/16/12		13

ACTION: (E) (M)	Sch Pay Date	Off Liab Act

VENDOR'S CERTIFICATION
I certify that the goods were shipped or the service rendered as set forth below.
(Please sign in ink)

REF DOC ID
CT OCD8000HFESG121395S0

Vendor Name and Address
ABC Shelter
100 Main St
Anywhere, MA 01234

DOCUMENT TOTAL: $1,320.00

STXT	PAYMENT REF NUMBER	VENDOR CODE:	EMP
	Jul 2012-ESG-SS	VC6000999888	

REFERENCED ORDER	LINE	QUANTITY	DESCRIPTION	UNIT PRICE	AMOUNT
			ESG - Shelter Support		$1,320.00

REFERENCE ORDER

LN	Trans	Dept	R/Org	Number	LINE	DEPT	APPROP	Sub	Org	S/Org	Obj	S/Obj	Prog	Ty
	CT	OCD	8000				4400-0705				M03			

PROJ/CL/GRC	Actv	Rptg	Fund	BS Acct	PAYMENT REFERENCE NUMBER	DESCRIPTION:

MSA #	LN #	DIS	DATES OF SERVICE	QNTY	Line Amount	I/D	P/F
			7/1/12 - 7/31/12				P

TO THE COMPTROLLER OF THE COMMONWEALTH OF MASSACHUSETTS:
I hereby certify under the penalties of perjury that all laws of the Commonwealth governing disbursements of public funds and the regulations thereof have been complied with and observed.

Instructions to vendor:
- Fill in shaded areas
- Direct inquiries to state organization

PREPARED BY: _____ TITLE: _____ DATE: _____

ENTERED BY: _____ TITLE: _____ DATE: _____ PAGE _____ OF _____

The undersigned authorized signatory approving this document certifies that this document and any attachments are accurate and complete and comply with all applicable general and special laws and refulations

APPROVED BY: _____ TITLE: _____ DATE: _____ PHONE:

Monthly Expenditure Report

MONTHLY EXPENDITURE REPORT

Corporate Name: ABC Shelter	**State Agency Name:** Department of Housing & Community Development
Vendor Code: VC6000999888	**Service Contract Number:** CT OCD8000HFESG12139550 — **Amendment #:** 0
Billing Period: 7/1/12 - 7/31/12	**Program Name:** ESG - Shelter Support — **Program Number #:**

Program Component	FTE	Reimbursable Cost (A)	Balance to Date (B)	Amount this Invoice (C)	Current Balance (D)	Expenditures to Date (includes current PV)
Direct Care/Pog Support Staff						
					$ -	$ -
					$ -	$ -
Case Manager	1.00	$ 10,000.00	$ 10,000.00	$ 800.00	$ 9,200.00	$ 800.00
					$ -	$ -
					$ -	$ -
					$ -	$ -
SUB TOTAL STAFF	1.00	$ 10,000.00	$ 10,000.00	$ 800.00	$ 9,200.00	$ 800.00
Payroll Taxes					$ -	$ -
Fringe Benefits					$ -	$ -
Total Direct Care Program Staff		**$ 10,000.00**	**$ 10,000.00**	**$ 800.00**	**$ 9,200.00**	**$ 800.00**
		ATTACH PERSONNEL SUMMARY REPORT				
Occupancy						
Program Facility		$ 20,000.00	$ 20,000.00	$ 500.00	$ 19,500.00	$ 500.00
FacilityOper/Maint/Furn					$ -	$ -
Total Occupancy		$ 20,000.00	$ 20,000.00	$ 500.00	$ 19,500.00	$ 500.00
Other Direct Care/ Program Staff						
Direct Care Specialists					$ -	$ -
Prov. Reim/Stipends					$ -	$ -
Staff Training					$ -	$ -
Staff Mileage/Travel					$ -	$ -
Subcontract Dir. Care					$ -	$ -
Meals					$ -	$ -
Client Transportation					$ -	$ -
Incid. Health/Med. Care					$ -	$ -
Medicine/Pharmacy					$ -	$ -
Client Per. Allowances					$ -	$ -
Prov. of Material Good					$ -	$ -
Data Processing					$ -	$ -
Commerical Resources					$ -	$ -
Program Supplies/Mat					$ -	$ -
Program Support					$ -	$ -
Total Other Direct Care/ Program Staff		$ -	$ -	$ -	$ -	$ -
Direct Admin Expenses						
Program Support					$ -	$ -
Other Direct Admin Expens					$ -	$ -
Total Direct Admin Expens.		$ -	$ -	$ -	$ -	$ -
SUBTOTAL PROGRAM COSTS		**$ 30,000.00**	**$ 30,000.00**	**$ 1,300.00**	**$ 28,700.00**	**$ 1,300.00**
Agency Admin Support Allocation %		$ 1,000.00	$ 1,000.00	$ 20.00	$ 980.00	$ 20.00
PROGRAM TOTAL		**$ 31,000.00**	**$ 31,000.00**	**$ 1,320.00**	**$ 29,680.00**	**$ 1,320.00**
Invoice Total (to Payment Voucher)				**$ 1,320.00**		

I certify that actual bills and payment documentation for these expend
in accordance with Executive Order of Administration and Finance General Conditions.

Please sign in ink

dhcd Massachusetts

PERSONNEL SUMMARY REPORT

Corporate Name: ABC Shelter

State Agency Name: Department of Housing & Community Development

Program Name: ESG - Shelter Support

Program Number: 0

Service Contract Number: CT OCD8000HFESG12138630

Billing period: 7/1/12 - 7/31/12

Program Component/ Position Title	FTE	Employee Name	Service Days	Service Hours	Wages/Salary Amount Paid	Component Total (all employees in component position title)	Less Offsetting Support	Component Net Invoice Amount
								-
Case Manager	1.00	Betty Doe	7/2-7/31/12	50	$ 800.00	800.00		800.00
								-
								-
								-
								-
								-
								-
TOTALS					**$ 800.00**	**$ 800.00**	**$ -**	**$ 800.00**

Monthly Expenditure Report (MER)

- Prepopulate the top of the MER and leave unchanged except **Billing Period.**

- **Program Component, FTE** and **Reimbursable Cost (A)** will be from Attachment 3 of your ESG contract and remain unchanged. <u>If you change any budget lines on this report the **PV** gets rejected</u>

- **Balance to Date (B), Amount this Invoice (C)** and **Current Balance (D)** changes monthly. Be sure to check that all lines add up and across, and that <u>**Amount Invoice Total**</u> is the same on the **PV** as under <u>**Document Total** and **Amount**</u>

- **Current Balance (D)** will be the **Balance to Date (B)** minus **Amount This Invoice (C)**

- **MER** requires original signature

Personnel Summary Report (PSR)

- Prepopulate the top of the PSR and leave unchanged except **the Billing Period.**

- **Enter Position Title** from your ESG contract's Attachment 3
- **Enter Reimbursable # FTEs** also from Attachment 3
- **Enter Employee Name**
- **Enter Service Days**: actual dates worked that month (i.e. 7/18 to 7/30)
- **Enter # of Hours**: actual hours in month each employee provided ESG Services

- **Wages/Salary Amount Paid** is gross payment not tax or fringe.
- **Component Total (All employees in component position title)** is total salary paid including offsets.
- **Less Offsetting Support** is the amount of offset funds included in total salary.

- **Component Net Invoice Amount** is the total salary less offsets, which is the amount paid in ESG funds and must match **Amount This Invoice (C)** on the **MER.**

Wrap-Up

- Additional policy guidance and program resources will be available at www.HUDHRE.Info – go there to join the ESG listserv!
- Please fill out evaluation/input form to suggest future training topics, resources, convenings and more
- Thank you to Cloudburst presenters:
  - Judy Perlman 617 308 7369 judy.perlman@cloudburstgroup.com
  - Jonathan Sherwood 978 792 5650
  - Jonathan.sherwood@cloudburstgroup.com

Contacts: DHCD ESG/HMIS Team

- Elaine Frawley, Director of Federal Grants
- 617 573-1384
- Michael Gulla, Finance
- 617 573-1249
- Jill Cannon, ESG Program
- 617 573-1382
- Heidi Gold, Director of Technology and Training
- 617 573-1368
- Bill Silvestri, HMIS
- 617 573-1389