

**ADECA'S
EMERGENCY SOLUTIONS
GRANTS
CORONAVIRUS PROGRAM
COMPLIANCE WORKSHOP**

**PLEASE CHECK YOUR AUDIO TO ENSURE
YOU ARE HEARING MUSIC NOW.**

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RESOURCES

- www.hudexchange.info
 1. Scroll down to Featured Resources
 2. Select Disease Risks and Homelessness
- www.adeca.alabama.gov
 1. At the top, scroll over Divisions
 2. Select Community and Economic Development
 3. On the left, select CARES Act / COVID-19 Grant Program Resources
 4. Scroll down to ESG-CV Program

STARTUP DOCUMENTS

From the [CARES Act / COVID-19 Grant Program Resources Page](#)

1. On the left, select Emergency Solutions Grant
2. On the left, select ESG Implementation Manual
3. Scroll down to Letter of Award

CENTRALIZED/COORDINATED ASSESSMENT SYSTEM (CAS)

- Copy of CoC's Coordinated Assessment (Coordinated Entry) Procedures
(Include information on how the public can seek assistance from each ESG service provider)
- Must be used by each ESG service provider (unless otherwise stated by the CoC)
- **Should decrease wait time to receive ESG assistance**
- Case managers should be knowledgeable of all local service providers even if they aren't a part of the CAS

DUPLICATION OF BENEFITS

“Duplication of benefits occurs when federal financial assistance is provided to a person or entity through a program to address losses resulting from a federally-declared emergency or disaster, and the person or entity receives or would receive financial assistance for the same costs from any other source, and the total amount received exceeds the total need for those costs.” Subrecipients must establish and maintain adequate procedures to prevent any duplication of benefits with ESG-CV funds.

DUPLICATION OF BENEFITS

- A duplication of benefits (DOB) occurs when a person or household receives financial assistance from multiple sources for the same purpose, and the total assistance received for that purpose is more than the total need for assistance.
- Develop a method to assess whether the use of the funds will duplicate financial assistance that is already received or is likely to be received.
- Target ESG-CV activities to address unmet needs and gaps to reduce the risk of DOB.

EMERGENCY RENTAL ASSISTANCE ALABAMA

- [Emergency Rental Assistance Alabama | Alabama Housing Finance Authority \(ahfa.com\)](https://www.eraalabama.com)
- Emergency Rental Assistance Alabama
- *****Emergency Rental Assistance Alabama is now taking applications. Landlord and tenants can apply at www.eraalabama.com. Call Center staff are available at 833-620-2434 to answer questions and help with applications if necessary.*****
- ERA Alabama can help renters with past due, current and up to 3 months of expected rent and utility and home energy expenses.
- On February 12, 2021, Governor Kay Ivey authorized AHFA to implement the State's new COVID-19 emergency rental assistance program. Emergency Rental Assistance (ERA) Alabama is funded entirely by a \$263 million congressional grant under the Consolidated Appropriations Act of 2021 (the "Act").
- Separate from ERA Alabama, the Act also funds separate rental assistance programs serving residents of Baldwin, Madison, Mobile, Montgomery, Tuscaloosa, and Jefferson Counties, and the cities of Huntsville and Birmingham. Residents in those local areas with separate programs must apply there, not with ERA Alabama. However, if the local program in your area is not yet operating, ERA Alabama might accept your application. Call 833-620-2434 for details.
- *Funding for ERA is made available through Alabama's allocation from the Emergency Rental Assistance Program funded by the U.S. Department of Treasury. AHFA is the administrator for the state of Alabama.*

POLICIES & PROCEDURES

- Eligibility
 - Clients must meet program eligibility criteria.
 - Clients **can't be** required to take a COVID-19 test or receive the vaccine as a condition of receiving assistance.
- Duplication of benefits
- Prioritizing prevention and rapid re-housing assistance
- Length of time assistance will be provided
- Hazard pay (if provided to staff)

POLICIES & PROCEDURES

- Policy regarding conflicts of interest
- Policy regarding confidentiality of information
- Type, amount, and duration of housing stabilization and relocation services to be provided
- Targeting/providing essential services related to street outreach

POLICIES & PROCEDURES

- Assessing, prioritizing, and reassessing program participants' needs for essential services related to emergency shelter
- Terminating assistance – grievance procedures
- Access to the ESG-CV program for persons of limited English proficiency
- Policy against involuntary family separation for emergency shelter providers

PROCUREMENT

All subrecipients must have and use documented procurement procedures consistent with state, local, and tribal laws; federal law; and procurement regulations at 2 CFR 200.318-327.

PROCUREMENT

- Micro-purchase procedures
 - Acquisition of supplies or services when the aggregate dollar amount does not exceed the micro-purchase threshold of \$10,000
 - Do not require competitive quotes if the price is reasonable based on research, experience, purchase history, or other information
 - Must be distributed equitably among qualified suppliers

PROCUREMENT

- Small purchase procedures
 - Used when securing services, supplies, or other property when the cost doesn't exceed the simplified acquisition threshold of \$250,000 (Aggregate amount is between the micro-purchase threshold and the simplified acquisition threshold.)
 - Requires price/rate quotes from an adequate number of qualified sources (Subrecipient determines the adequacy and qualifications of the sources, as appropriate.)

PROCUREMENT

- Sealed bids
 - May utilize ADECA's Office of Minority Business Enterprise
 - Invitation for bids must be publicly advertised
 - Invitation includes specifications
 - Bids opened publicly
 - Requires a firm fixed price contract

PROCUREMENT

- Competitive proposals
 - Request for proposals must be publicized and identify all evaluation factors
 - Proposals must be solicited from an adequate number of sources
 - Requires a written method for evaluation and selection

PROCUREMENT

- Competitive proposals
 - Contracts must be awarded to the responsible firm whose proposal is most advantageous to the program considering price and other factors
 - May be used for qualifications-based procurement of architectural/engineering professional services

PROCUREMENT

- Noncompetitive proposals
 - Item or service is available from only one source
 - Urgent public need or emergency will not allow for a delay caused by advertising
 - Awarding agency authorizes a noncompetitive process
 - After solicitation of a number of sources, only one response is received

INVOICES

Supporting documentation should include:

- Summary sheet of individual ESG expenditures for each agency (list vendor, date, total invoice amount, and amount charged to program). This includes expenditures to be reimbursed /or those paid with an advance

INVOICES

Supporting documentation should include:

- Invoice Documentation Cover Sheets
- Timesheets showing actual time worked
- Summary of duties/activities performed
- Prevention/Re-housing Documentation Checklist and supporting documents

INVOICES

- Submit invoices monthly
- Address on Request for Payment, Certification, and in STAARS Vendor Payment System must be identical
STAARS info: <https://comptroller.alabama.gov/>
- Signature on invoices and budgets must be identical to those on the Certification
- **Local unit of government subrecipients must pay second-tier subrecipients within 30 days of receipt of a completed reimbursement request**

INDIRECT COSTS

- Must have a federally negotiated indirect cost rate
- Must submit copy of federally negotiated indirect cost rate to ADECA
- May use the 10% de minimis rate
(must submit Certification to Use 10% De Minimis Indirect Cost Rate)

ESG-CV PROGRAM INCOME

- Defined as provided by 2 CFR 200.80
except:
 - Includes any amount of a returned security or utility deposit
 - Costs that are incidental to generating program income and not charged to the grant may be deducted from gross income to determine program income

EMERGENCY SHELTER EXPENDITURE DEADLINE

**ALL funds in the Emergency Shelter activity
of your budget must be expended by January
31, 2022.**

EMERGENCY SHELTER STANDARDS

- Building is structurally sound
- Energy Star and WaterSense products and appliances (for rehab or conversion projects)
- Accessibility
- Adequate space and security
- Interior air quality
- Water supply

EMERGENCY SHELTER STANDARDS

- Sanitary facilities
- Thermal environment
- Illumination and electricity
- Food preparation
- Sanitary conditions
- Fire safety
- Lead-based paint regulations

HOMELESSNESS PREVENTION AND RAPID RE-HOUSING

Participants must be assisted, as needed, in obtaining:

- Appropriate supportive services such as medical/mental health treatment or services essential for independent living
- Mainstream benefits like Medicaid, Supplemental Security Income, or Temporary Assistance to Needy Families

CASE MANAGEMENT

- Homelessness prevention and rapid re-housing program participants are **NOT** required to meet with their case managers monthly while receiving assistance.
- Case manager must develop a housing stability plan to assist participants in retaining permanent housing after assistance ends

PARTICIPANT ELIGIBILITY

HOMELESSNESS PREVENTION

- Conduct initial evaluation
- Meet criteria of “at-risk of homelessness,” categories 1, 2, or 3 **or** criteria of homeless definition categories 2, 3, or 4
- Annual income below 50% of AMI at program entry
- Lacks support networks and financial resources to remain in housing
- Re-evaluation at least once every 3 months

PARTICIPANT ELIGIBILITY

HOMELESSNESS PREVENTION

- If a household is covered under the eviction moratorium, the household would not be eligible to receive any ESG homelessness prevention services (rental assistance or housing relocation and stabilization services) during the eviction moratorium.
- If someone is unable to sign the declaration because they do not meet the criteria, or if a landlord is not complying with the terms of the moratorium, then the household is not considered protected by the moratorium. The household could then potentially be considered eligible for ESG-CV homelessness prevention assistance. The household must meet the eligibility criteria.

PARTICIPANT ELIGIBILITY RAPID RE-HOUSING

- Conduct initial evaluation
- Meet criteria of category 1 or 4 of homeless definition
- No income threshold at program entry
- Lacks support networks and financial resources to obtain housing
- Re-evaluation annually

PARTICIPANT ELIGIBILITY

For both Prevention and Re-housing

At re-evaluation:

1. Annual income at or below 50% AMI
2. Annual income is calculated based on guidelines found at 24 CFR 5.609 (**for initial assessment and re-evaluation**)
3. Lacks support networks and sufficient resources to retain housing without ESG assistance
4. Participants should report changes in income or circumstances that affect their need for ESG assistance

UNEMPLOYMENT INCOME

- Regular unemployment payments – **Should be included** when calculating annual income.
- Pandemic Unemployment Assistance (PUA) – **Should be included** when calculating annual income. PUA is a program for individuals who are self-employed, seeking part-time employment, or otherwise wouldn't qualify for regular unemployment insurance. (May provide up to 39 weeks of benefits.)

UNEMPLOYMENT INCOME

- Pandemic Emergency Unemployment Compensation (PEUC) – **Should be included** when calculating annual income. PEUC is a program that allows regular unemployment compensation recipients to receive up to 13 weeks of additional benefits. (Extends employment benefits from 26 to 39 weeks.)
- Federal Pandemic Unemployment Compensation (FPUC) – **Should not be included** when calculating annual income. FPUC is a program that provided eligible individuals who are collecting certain unemployment insurance benefits, including regular unemployment compensation, to receive an additional \$600 in federal benefits per week for weeks of unemployment that ended on or before July 31, 2020 (18 weeks)

RENTAL ASSISTANCE

- The total period for which any program participant may receive services must not exceed 24 months during any 3-year period.
- Cannot use with other subsidies.
- Rental assistance cannot be provided to a household receiving rental assistance from another public source for the same time period (except 6 months of arrears).

Persons in public housing units or using housing choice vouchers cannot receive monthly rental assistance under ESG.

RENTAL ASSISTANCE

- **Only tenant-based rental assistance is eligible** (participant selects housing)
- ***Rent must comply with HUD's Rent Reasonableness Standards***
- Unit must comply with Minimum Habitability Standards & Lead-Based Paint Regulations
- ESG funds cannot be used to pay late fees generated after person enters program
- ***Rent Reasonableness does not apply to payment of rental arrears***

RENTAL ASSISTANCE

- Mortgage payments are ineligible
- Requires a legally-binding, written lease between the owner and participant (except for arrears only)
- Agencies providing assistance must enter into a rental assistance agreement with the landlord/owner to whom rental payments will be made

RENTAL ASSISTANCE AGREEMENT

- Sets forth terms under which rental assistance will be provided (*includes requirements at §576.106*)
- Must contain same due date, grace period, and penalty requirements as participant's lease
- Must state that tenant-based rental assistance will be provided

RENTAL ASSISTANCE AGREEMENT

- Required even if assistance is only for arrears

During term of agreement:

- Owner of housing must give agency a copy of any notice provided to the participant to vacate the housing unit.
- Owner of housing must give agency a copy of any complaint used under state or local law to commence an eviction action against the participant.

PARTICIPANT FILE DOCUMENTATION

- Application date
- Entry/exit from HMIS/Comparable Database
- Identification
- Eligibility (housing status and income)
- Lack of resources, support networks, and alternate housing
- Case Management Notes

PARTICIPANT FILE DOCUMENTATION

- Documentation that the same type of assistance is not being provided by other public sources
- Housing Stability Plan
- Type, amount, and length of assistance provided
- Lease
- Rental Assistance Agreement

PARTICIPANT FILE DOCUMENTATION

- Rent Reasonableness Checklist
- Housing Habitability Standards Checklist
- Lead-Based Paint Checklist
- Lead-Based Paint Disclosure Form
- Form documenting participant is aware of the termination/grievance policy

HOMELESSNESS PREVENTION AND RAPID RE-HOUSING

The regulations establish the following order of priority for obtaining evidence:

1. Third-party documentation, including written and source documentation, and HMIS records;
2. Intake worker observations; and
3. Certification from persons seeking assistance

RAPID RE-HOUSING

- Rapid Re-housing is a model for helping people move from the streets or shelter to permanent housing - it was not intended for people exiting transitional housing (TH).
- **Using rapid re-housing funds to exit persons from TH should not be common practice or a core aspect of your program design.**

HOMELESS PARTICIPATION

To the maximum extent possible, involve homeless persons/families in constructing, renovating, maintaining, and operating facilities assisted under ESG-CV, in providing services assisted under ESG-CV, and in providing services for occupants of facilities assisted under ESG-CV.

Document involvement of homeless persons.

IMPORTANT DEADLINES

- **June 16, 2021** – Subrecipient must enter into contracts with any second-tier subrecipients through an actual agreement or letter of award.
- **September 30, 2021** – at least 20% of ADECA's ESG-CV award must be expended.
- **March 31, 2022** – at least 80% of ADECA's ESG-CV award must be expended.
- **September 30, 2022** – 100% of ADECA's ESG-CV funds must be expended.
- **The U.S. Department of Housing and Urban Development (HUD) may recapture up to 20% of ADECA's total award if at least 20% of that award isn't expended by September 30, 2021.**
- **HUD may recapture up to 80% of ADECA's total award if at least 80% of that award isn't expended by March 31, 2022.**

RECORDKEEPING

- Records will be reviewed during the onsite monitoring visit and/or desk review
- Maintain records for 5 years after project closeout
- For projects involving renovation or conversion, maintain records for 10 years after project closeout

PERFORMANCE STANDARDS

- Impact of ESG-funded projects
- Number of persons served by ESG-funded projects
- Number of program participants obtaining mainstream benefits (Temporary Assistance to Needy Families, Supplemental Nutrition Assistance Programs, VA Health and Pension Benefits, Supplemental Security Income/Social Security Disability Insurance, and Medicaid)

OUTCOME MEASURES

- Will be determined by performance indicators
- Develop measurable performance indicators
- Should be specific to your geographic area/service area

REPORTING

- Section 3 Report
 - HUD Form 60002
 - Submitted by April 15th annually
 - Reports number of new hires for construction projects
 - Reports funds expended during reporting period

REPORTING

- Quarterly Sage Reports
 - Program participant data is uploaded directly from HMIS/comparable database to Sage
 - Information regarding expenditures is submitted separately via email to ADECA
- Performance Standards/Outcome Measures
 - Submitted by April 15th annually

PROJECT CLOSEOUT

Closeout Documents

- Conditions of Project Closeout Form
(Must be signed by the chief elected official/chief executive officer)
- Subrecipient Budget/Final Financial Report
(Budgets from the second-tier subrecipients are not required)
- Cumulative Information for Performance Standards/Outcome Measures
- Copy of property inventory log showing all property purchased with grant