

CITY OF ALBANY

EMERGENCY SOLUTIONS GRANTS (ESG) PROGRAM

REQUEST FOR PROPOSALS (RFP) PROGRAM YEAR 43



APPLICATION PACKET

SECTION 1 – APPLICATION INTRODUCTION

REQUEST FOR PROPOSALS FOR THE EMERGENCY SOLUTIONS GRANTS (ESG) PROGRAM PROGRAM YEAR 43

The City of Albany Community Development Agency is seeking proposals from organizations with specific skills in providing street outreach, emergency shelter, homeless prevention, or rapid re-housing to implement the Emergency Solutions Grants components of the City's Continuum of Care System. Only homeless provider organizations that meet the "Minimum Requirements" and "General Program Requirements" will be considered at this time.

A. ESTIMATED AVAILABLE FUNDING

The City of Albany has not yet been notified of its Year 43 allocation. For purposes of this RFP, the maximum amount of ESG funds anticipated to be awarded to the City for Program Year 43 is anticipated to be \$261,359. This amount is estimated and dependent on the amount ultimately awarded by the Federal government. Eligible activities that have established funding limits or caps will be adjusted in accordance with final awarded amount.

B. ELIGIBILITY FOR APPLICATION

The following eligibility criteria will be used in considering ESG applications for funding in Program Year 2016-2017:

1. Only eligible project activities that meet the following will be considered:
 - a) Must be eligible under the definitions of the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act.
 - b) Under the HEARTH Act, must coordinate activities with the Continuum of Care process to carry out ESG eligible activities.
 - c) Must demonstrate the capacity to participate in/and meet the performance and reporting requirements under the Homeless Management Information System (HMIS).
 - d) Strengthening the County's Continuum of Care by addressing gaps in residential and non-residential services and/or ;
 - e) Developing and implementing a plan of homeless prevention that emphasizes "housing stabilization";
 - f) Goals and actions that specifically target chronic homeless, veterans, families with children and unaccompanied youth;

- g) Cultivate collaboration between the recipient agency and the Continuum of Care process;

2. Projects from service providers that have at least two years' experience in successfully providing at least one of the following eligible Emergency Solutions Grant (ESG) components:

- a) Street Outreach serves unsheltered homeless persons.

Essential Services included in street outreach include: Engagement, Case Management, Emergency health and mental health services, transportation and services for special populations including homeless youth, homeless persons with HIV/AIDS, and Homeless Victims of Domestic Violence, Sexual Violence and Stalking.

- b) Emergency Shelter serves people staying in emergency shelters.

Essential Services include case management, childcare, education, employment and life skills services, legal services, health, mental health and substance abuse services, transportation, and services for special populations. Operations include maintenance, utilities, furniture, and food. Renovations include major rehab or conversions.

- c) Homeless Prevention activities are available to persons who are homeless or at risk of becoming homeless.

Homeless prevention assistance can be used to prevent an eligible individual or family from becoming homeless or to help an individual or family regain stability in current housing or other permanent housing. Eligible activities include housing relocation and stabilization services as well as short and medium-term rental assistance.

- d) Rapid Re-Housing is available to help those who are literally homeless move into permanent housing and achieve housing stability. Activities include housing relocation and stabilization services as well as short and medium term rental assistance

C. MANDATORY MATCH REQUIREMENTS

The Emergency Solutions Grants (ESG) Program requires a matching grant equal to the amount of the requested funds. All Applicants must provide documentation of the cash or in-kind match with the RFP:

Matching Funds: Identify an amount equal to the requested amount of ESG funds. The amount of these matching funds may include the value of any donated material or building; the value of any lease on a building; any salary paid to staff in carrying out the emergency shelter program; and the time and services contributed by volunteers to carry out the program based upon a \$5 per hour rate. Match may be hard or soft match and may include in-kind, Food pantry, and Shelter Partnership and other valued donations.

RFP SUBMISSIONS

Submit one (1) original plus five (5) copies. Proposals must not be bound or stapled; secure proposals with a binder clip. Number pages and label each section with identifying tabs utilizing RFP section and paragraph titles.

Coordination with the Albany County Continuum of Care (Albany County Coalition to End Homelessness)

All proposals will be reviewed and recommended for funding by the Albany County Continuum of Care (CoC). Funding recommendations will then be reviewed and approved by the City of Albany. The City reserves the right to make all final funding decisions.

OTHER:

Questions regarding this notice may be directed to James Matteo at 518-434-5240.

SECTION 2 - ESG PROGRAM OVERVIEW

A. AUTHORITY

The ESG Program was established by the McKinney – Vento Homeless Assistance Amendments Act of 1987 (Public Law 100-628) and Section 832 of the 1990 Affordable Housing Act (Public Law 101-625). This Program is governed by Title 24, Code of Federal Regulations (CFR), Part 576. The Albany City Council, in its capacity as a metropolitan city eligible for a formula grant under the ESG regulations, has authorized participation as described in the City's Comprehensive Housing Affordability Strategy.

PREVENTION AND REHOUSING ASSISTANCE: The New Emergency Solutions Grant

The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act), enacted into law on May 20, 2009, consolidates three of the separate homeless assistance programs administered by HUD under the McKinney-Vento Homeless Assistance Act into a single grant program, and revises the Emergency Shelter Grants program and renames it as the Emergency Solutions Grants (ESG) program. The HEARTH Act also codifies into law the Continuum of Care planning process, a longstanding part of HUD's application process to assist homeless persons by providing greater coordination in responding to their needs. HUD published the interim rule for the amended Emergency Solutions Grants (ESG) program along with the corresponding amendments to the Consolidated Plan regulations in the Federal Register on December 5, 2011 and became effective on January 4, 2012. This interim rule revises the regulations for the Emergency Shelter Grants program by establishing the regulations for the Emergency Solutions Grants program, which replaces the Emergency Shelter Grants program. The change in the program's name, from Emergency Shelter Grants to Emergency Solutions Grants, reflects the change in the program's focus from addressing the needs of homeless people in emergency or transitional shelters to assisting people to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness. The HEARTH Act also increased the emphasis on performance by requiring participation in HMIS. All projects funded through the Emergency Solutions Grants (ESG) program must adhere to federal regulations Part 576 – Emergency Solutions Grants Program (final rule).

B. DEFINITION OF HOMELESS

On November 15, 2011, HUD published the final rule on the definition of homelessness, which integrates the regulation for the definition of "homeless," and the corresponding recordkeeping requirements, for the Emergency Solutions Grants program, the Shelter Plus Care program, and the Supportive Housing Program.

The proposed rule was released and provided necessary clarification on terms within the statutory definitions of "homeless," "homeless individual," "homeless person," and "homeless individual with a disability" and contained proposed recordkeeping requirements designed to assist communities appropriately document an individual or family's homeless status in the case file. Through the proposed rule, HUD solicited public comment and suggestions on the proposed clarifications. The public comment period closed on June 21, 2010.

Only programs serving homeless persons or families as defined under HUD's Federal regulation will be considered. **A homeless person is defined under Federal regulations as:**

1. Individuals and families who lack a fixed, regular, and adequate nighttime residence and includes a subset for an individual who resided in an emergency shelter or a place not meant for human habitation and who is living in an institution where he or she temporarily resided;
2. Individuals and families who will imminently lose their primary nighttime residence;
3. Unaccompanied youth and families with children and youth who are defined as homeless under other federal statutes who do not otherwise qualify as homeless under this definition; and
4. Individuals and families who are fleeing, or are attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member.

C. ELIGIBLE ACTIVITIES

- a. Street Outreach serves unsheltered homeless persons. Essential Services included in street outreach include: Engagement, Case Management, Emergency health and mental health services, transportation and services for special populations including homeless youth, homeless persons with HIV/AIDS, and Homeless Victims of Domestic Violence, Sexual Violence and Stalking. Services are provided to eligible participants provided on the street or in parks, abandoned buildings, bus stations, campgrounds, and in other such settings where unsheltered persons are staying. Staff salaries related to carrying out street outreach activities are also eligible.
- b. Emergency Shelter serves people staying in emergency shelters. Essential Services include case management, child care, education, employment and life skills services, legal services, health, mental health and substance abuse services, transportation, and services for special populations. Operations include maintenance, utilities, furniture, and food. Renovations include major rehab or conversions.
- c. Homeless Prevention activities are available to persons below 30% Area Median Income (AMI) and are homeless or at risk of becoming homeless. Homeless prevention assistance can be used to prevent and eligible individual or family from becoming homeless or to help and individual or family regain stability in current housing or other permanent housing. Eligible activities include housing relation and stabilization services as well as short and medium-term rental assistance.

- d. Rapid Re-Housing is available to help those who are literally homeless move into permanent housing and achieve housing stability. Activities include housing stabilization services as well as short and medium term rental assistance.
- e. HMIS - The HEARTH Act makes HMIS participation a statutory requirement for ESG recipients and subrecipients. Victim service providers cannot, and Legal Services Organizations may choose to not, participate in HMIS. These providers must use a comparable database that produces unduplicated, aggregate reports, instead.

D. ESTIMATED FUNDING CAPS FOR EMERGENCY SOLUTIONS GRANTS (ESG) PROGRAM

At the time of the release of this request for proposals, funding amounts have not been published. All funding is projected and awards may be modified to reflect actual awards made by the Department of Housing and Urban Development.

The maximum amount of ESG funds anticipated to be awarded to the City for Program Year 43 is \$261,359. **This amount is estimated and dependent on the amount ultimately awarded by the Federal government. Eligible activities that have established funding limits or caps will be adjusted in accordance with final awarded amount.**

E. INELIGIBLE ACTIVITIES

The following activities are prohibited:

- Acquisition of a facility for use as an emergency shelter for the homeless.
- Rehabilitation services such as preparation of work specifications, loan processing, or inspections.
- Renovation or conversion of buildings owned by primarily religious organizations or entities. All services must be free from religious influences.

CONTINUED SHELTER USE REQUIREMENTS

A shelter assisted with ESG funds must be maintained as a shelter for the homeless for a specific minimum time period. The time period begins on the date of initial use as an emergency shelter for the homeless or the date that grant amounts are first obligated by the grantee for the shelter, whichever is later. The specific time frames, according to the specific activity assisted, are as follows:

1. Conversion or Major Rehabilitation: 10 Years
2. Renovation: 3 Years
3. Homeless Prevention: No continued use requirement
4. All Other Activities: The period during which ESG assistance is provided, up to 2 years.

SECTION 3 - RFP APPLICATION AND SELECTION CRITERIA

A. RFP GENERAL APPLICATION REQUIREMENTS

The following criteria must be included in the RFP application to be considered a qualified application:

1. The scope of Program Services must be City-based.
2. Proposed program and activities must be of direct benefit to homeless persons as defined by HUD in Federal regulations. Homeless prevention programs must benefit homeless persons or those at risk of becoming homeless.
3. All applications must demonstrate the ability to track performance in the Albany CoC HMIS Program.
4. Evidence of a 100% match must be submitted. Match may be cash or in-kind and must be used or counted towards eligible ESG activities.
5. All submitted projects must be considered eligible activities under ESG as required by HUD regulations and should be planned for a maximum of 12 months.
6. Agency must be a legally incorporated non-profit organization or government entity and operational before submission.
7. Must provide 501 (c) (3) tax-exempt IRS status.
8. Must provide current IRS Determination Letter.
9. Must provide Articles of Incorporation and Organization By-laws.
10. Must provide current Dun and Bradstreet Number
11. Applicant must provide current documentation that it possesses adequate fiscal and management systems and legal certifications to implement the proposed project:
 - Must provide copy of Annual Report with Financial Data.
 - Must provide copy of last Independent Audit, results and copy of management letter.
12. Applicant must submit verification of Insurance Coverage. The City (Grantee) and Albany Community Development Agency must be named as an additional insured, and must include the endorsement page and the following language:
 - 1) The additional insured is, "The City of Albany including elected or appointed officials, directors, officers, agents, employees, volunteers, or contractors."
- 13.) Must demonstrate a minimum of twenty-four (24) months previous experience as of the application deadline of January 12, 2017..

13. A qualified Fiscal Officer/Bookkeeper, preferably certified by AICPA, must be listed in the proposed budget and a resume included as part of the application.
14. Agencies that have not submitted performance reports and those with past compliance and performance problems may not be considered for funding.
15. Program activities must be available to serve all religious, race and ethnic groups, in accordance with Title VI of the Civil Rights Act of 1964, and Section 109 of Title I, of the Housing and Community Development Act of 1974.
16. Program activities must comply with Section 504 of the Rehabilitation Act of 1973, which states: "No qualified individual with handicaps can be excluded from participation in or denied the benefits of any activity receiving Federal financial assistance.
17. Board and/or advisory board should be representative of the community, your organization's service population, and homeless or formerly homeless persons. Homeless persons must be involved in planning and/or operation of project.
18. Awarded agencies must be represented at the Albany Continuum of Care Coalition (PCOCC) monthly meetings on a regular and consistent basis.
19. Agency must be able to demonstrate bilingual capacity through paid or volunteer staff on-site or on-call.

GENERAL PROGRAM REQUIREMENTS

Providers funded with ESG program funds will be expected to adhere to the following to be considered in good program standing:

- Make themselves familiar with and adhere to all program requirements of the EMERGENCY SOLUTIONS GRANTS, as stated in Title 24 of the Code of Federal Regulations, Part 576;
- Work with City staff in developing and implementing Albany County's Continuum of Care Plan;
- Collaborate with other homeless providers in the operation of the project;
- Adhere to Albany's reporting and monitoring requirements;
- Participate in training and coordination meetings;
- Cooperate with related research and evaluation activities;
- Prioritize referrals from homeless service providers within the City's Continuum of Care System;

- Meet high standards of professionalism in implementing the project;
- Conform to all fiscal accountability standards required by the City of Albany and by the Federal government (see attached 24 CFR, Part 84);

B. RFP REVIEW AND APPEALS PROCESS

The City's review process entails four levels of review prior to final authorization of a federally assisted project:

- 1) Staff Evaluation Team reviews applications for responsiveness to RFP requirements
- 2) Determine ESG Eligibility of proposed activities
- 3) Eligible activities are reviewed and evaluated by ACDA's Ad Hoc Committee and Staff Evaluation Team.
- 4) Funding is approved by the City Council

An organization that has sought funding may appeal to the City Council at any of the Public Hearings held to obtain citizen comments. Written appeals may also be submitted to the Community Development Department prior to adoption of the final budget in April 2014.

Public hearings will be noticed in local newspapers in the Legal Notice section.

C. BASIC INSTRUCTIONS FOR SUBMITTING A REQUEST FOR FUNDING

The following tips provide basic technical guidance for preparation and final submittal of an ESG RFP application to the City for funding a proposed project:

- 1) The RFP application forms should be typewritten or printed for clarity of information and numbered to ensure RFP evaluators and reviewers do not misread information.
- 2) Only one RFP application is submitted for each proposed project or program proposed in an application (1 project for 1 application). This will ensure compliance with federal requirements and also ensures that the project budget and staffing is adequate to carry out a project.
- 3) The RFP Application Checklist of requested documents is provided to help the applicants organize the application properly.
- 4) Completion of the RFP Application in the order requested will make the proposal more competitive for the funding grant you are seeking. Utilize the headings in the RFP for your proposal in order to assist the reviewers in evaluating your application. Tab key headings and sections for easy reference. The original and copies must be secured with a large binder clip only. Do not staple, mechanically bind, or use notebook binders. Provide index tabs for each section and major paragraph section using the RFP titles.

- 5) Proposed program activities should have a clearly written scope of services that links goals with program outcomes: “Need” + “Design” + “Performance Measures” = Proposed Outcomes. Be sure to indicate the number of individuals and families to be served.
- 6) If you are not sure about any section of the RFP Application, contact James Matteo at (518)434-5240 early in the application process to obtain a clear understanding of what is required to properly complete the contents of the application.
- 7) Verify that all items listed with the application checklist have been answered to ensure that the proposal can be properly evaluated and understood by its readers.

INCOMPLETE APPLICATIONS OR NON-RESPONSIVENESS

Incomplete applications will not be evaluated and will be returned to applicant. In order to be considered complete and responsive to RFP requirements, your application must include all items listed in the “Application Checklist”, regardless of whether or not any of these items have been submitted in prior years.

SECTION 4 - RFP APPLICATION PACKAGE

The City of Albany ESG Program Year 43 request for proposals consists of the following elements:

- △ APPLICATION CHECKLIST
- △ APPLICATION with cover sheet
- △ ATTACHMENTS
- △ REQUIRED DOCUMENTATION
- △ INSURANCE COVERAGE
- △ OVER-ARCHING FEDERAL REQUIREMENTS
- △ AGENCY CERTIFICATIONS

APPLICATION PACKAGES ARE DUE

BY:

4:00 p.m., Thursday January 12, 2017.

APPLICATIONS MUST BE SUBMITTED TO:

**ALBANY COMMUNITY DEVELOPMENT AGENCY
200 HENRY JOHNSON BLVD
ALBANY, NY 12210**

Please submit one (1) ORIGINAL AND five (5) unbound copies.

**LATE, FAXED, E-MAILED OR APPLICATIONS HANDWRITTEN IN SCRIPT
will not be accepted.**

A. APPLICATION COVER SHEET

CITY OF ALBANY
 COMMUNITY DEVELOPMENT AGENCY
 EMERGENCY SOLUTIONS GRANTS (ESG)
 PY 43

 Legal Name of Agency

 Project Name

 Federal Identification Number (9- Digit #)

 DUNS # (Dunn & Bradstreet)

 Agency Address

 City

 Zip Code

TYPE OF ACTIVITIES

AMOUNT

HOMELESS PREVENTION

\$ _____

STREET OUTREACH

\$ _____

EMERGENCY SHELTER

\$ _____

RAPID RE-HOUSING

\$ _____

HMIS

\$ _____

TOTAL REQUESTED

\$ _____

Please review the Year 43 allocation allotment noted on page 2.

A separate proposal must be submitted for each activity with the exception of HMIS.

Grant Contact Person and Title: _____	
Phone No: _____	
Fax No: _____	E-mail: _____
Designated Representative responsible for job performance, negotiations, contractual matters, and coordination with the City:	
Name & Title: _____	
Mailing Address: _____	
Email Address: _____	Telephone No: _____
_____ Legally Authorized Signatory	_____ Typed or Printed Name

B. APPLICATION CHECKLIST

The Application Checklist must be completed to verify that all required documents are completed for submission. Incomplete applications will be rejected with a written justification of items missing. No opportunity will be given to provide additional information after the Submittal Deadline. If further assistance is needed, contact Jan Cicco, Homeless Services at (909) 620-2571.

CHECK WHEN COMPLETED

- Program Experience and Qualification
- Program Design
- Performance Measurement – Program Goals with Outcomes
- Collaborative Effort
- Fiscal Administration
- Proposed Budget Summary
- Personnel Budget Form
- Detailed Breakdown of Costs Form(s) (use applicable form(s))
- Match Requirements
- Shelter Facility Information (if applicable)

ATTACHMENTS

- A: Board of Directors Affidavit
- B: Statement of Certification
- C: ESG Compliance Requirements

REQUIRED DOCUMENTATION

- 501 (c) (3) Tax-exempt status
- Copy of Audited Financial Data with Statement of Opinion
- Copy of Articles of Incorporation and By-laws
- Dun and Bradstreet (DUNS) Number

INSURANCE COVERAGE – City and ACDA must be named as co-insured

- Current General Liability

OTHER

- Attach resume of fiscal officer
- Organization By-Laws
- Articles of Incorporation
- Memorandum(s) of Understanding for collaborative services (if applicable)

C. APPLICATION

1. PROGRAM DESIGN

- a. ESG Activity Type and Number of Clients to be served.
- b. Purpose of the proposed project.
- c. Need for the project and how was the need for the proposed activity identified?
- d. Target Population: Identify any unique characteristics of the population that you propose to serve. Be specific (e.g. families with children, males with substance abuse problems, chronic mentally ill).
- e. Provide information on the types of services that will be offered and how they will be provided.
- f. Outreach Plan: Describe the methods to be used to ensure that the target population and community residents will find out about the services provided by the project. What are the possible referral sources for this project? How will they be used?

2. ORGANIZATION AND STAFF QUALIFICATIONS AND EXPERIENCE

- a. Provide a summary of the qualifications of your organization to carry out the proposed project.
- b. Provide a summary of the experience of your organization. Include any program that your agency has administered that is most similar to the proposed activity.
- c. Describe your agency's bi-lingual capacity. List all languages in which your agency has capability.

3. PERFORMANCE MEASUREMENT

- a. Please see Table G. Performance Measure Reporting. Complete the entire table.
- b. Reference Table H. for Albany County Continuum of Care (CoC) ESG Required Performance Measures.

4. PROGRAMMATIC DOCUMENTATION AND RECORDKEEPING

- a. Does the agency current record client information in the Albany County Continuum of Care HMIS? If yes, how long has the agency utilized the system.
- b. If no, does the agency intend to implement HMIS during PY 40?
 - i. Describe the status of HMIS implementation:
 1. not yet started,
 2. status of obtaining equipment and software
 3. status of training
 4. status of installing HMIS and obtaining passwords
 - ii. Describe the process for documenting client intake, goals, progress, success and exit. Include responsible parties and time allocated for documentation.

5. **COLLABORATIVE EFFORT**

- a. Please list any coalitions, consortiums, or any other community meetings that your agency participates in on a regular and consistent basis.
- b. Is this project conducted in collaboration with other agencies? Please describe.
- c. Attach Memorandum of Understandings, Letter of Support, and any other documentations showing collaboration between the applicant agency and other local agencies, if applicable.

6. **COMMUNITY AND SERVICE POPULATION REPRESENTATION**

- a. Board and/or advisory board should be representative of the community, your organization's service population, and homeless or formerly homeless persons. Homeless persons must be involved in planning and/or operation of project.
 - i. All organizations funded by this RFP must ensure the maximum feasible participation of the homeless persons in project planning, implementation and evaluation processes. Specify the methods used for recruitment and hiring, if appropriate. Indicate whether those involved are paid staff or volunteers.
 - ii. Describe the membership on your Board of Directors, Advisory Board or other advisory and decision-making bodies within the applicant agency the includes representation of community members and member, or former members, of the population served.
 - iii. If your organization does not currently have a Board of Directors or Advisory Board whose membership includes a reasonable percentage of service recipients and/or homeless individuals, what steps will be taken, and when, to ensure representation of the poor and very low income persons on the Board of Directors or Advisory Board?

7. **FISCAL ADMINISTRATION**

- a. Name of Financial Management System. Describe your organization's accounting and financial reporting system. Does the agency use accrual or cash accounting basis? Does the accounting system accounting system provide for the control of revenues as well as expenditures. Please discuss briefly.
- b. Identify Finance Staff positions. Describe roles of staff positions discussing the internal controls used to ensure the safeguarding of funds and proper classification of expenditures to ensure that a thorough record of expenditures can be provided for purposes of monthly billing, providing reports and of an annual audit.
- c. Identify the agencies three most recent federal grants by grant title and dollar amount. If fewer than three, identify non-federal grants. If Does the applicant agency have any past due obligations with any other funding source? Did the applicant agency fully expend the three most recent grants that have closed out terms? If not, why not and how much was not expended?

- d. Does the agency have an unearned grant from a previous contract, which has not been returned to the funding source?
 - i. If you answered yes to any of the above please submit the following information:
 - a. Name of funding source and program title:
 - b. Reason for past due obligations, and the amount of such obligation:
- e. In the past three years, has the agency had an Internal Revenue Service (IRS) or State levy? If so, is the agency on a repayment schedule? How was the matter resolved?

D. PROGRAM BUDGET

The Emergency Solutions Grant will cover a portion of the eligible expenses for funded programs. ESG requires 100% match and this must be calculated into the budget. Match can be cash or in-kind and must be applied to eligible activities.

Staff working all, or in part, providing direct client services for eligible activities must be included in the budget. The administration has the flexibility to determine what portion, if any, of the eligible salary will be billed to ESG.

Example: A case manager provides services to ESG Street Outreach Program clients 50% of the time that she/he works. The program budget may treat this in the following fashions:

- 1) Split cost between ESG and other source to go toward match requirement. In this case, the administrator decided to split 50/50.
- 2) Case manager \$100 salary .5 to program = \$50 to program. The program may split this salary \$25 ESG, \$25 other source for match.
- 3) The program may full expense \$100 to ESG. The other percentage of time that the case manager works with other programs or clients may not be allocated to match. No match is credited.
- 4) Because the case manager's time is shown in the budget and is an eligible expense, the entire \$100 could be allocated toward meeting the match requirement, with none of this expense billed to ESG in the billing period.

Expenses for services, equipment, etc. required to implement the program should be included in the budget. Applicant may determine what portion will be billed to ESG and what portion will be billed to other funding sources and applied to match. If the equipment, space, or service is shared by other programs, the amount must be pro-rated and only the portion utilized by the ESG funded program may be billed to ESG and/or allocated towards match.

Adequate management and administration is also required for the program, but is not funded by ESG. The Executive Director and Accountant must be shown in the initial Personnel Budget form, demonstrating capacity to implement the program. The job descriptions must be included with the proposal.

Expenditure Limits placed upon the City of Albany for the total ESG award

The City of Albany has expenditure limits that are placed on ESG funding. Per federal regulation, street outreach and emergency shelter combined awards to all programs from each fiscal year's ESG grant cannot exceed the greater of:

1. 60% of that federal fiscal year's total ESG grant award
2. The amount of FY 2010 grants funds committed to homeless assistance activities.

The City of Albany consults with the Continuum of Care and annually reviews funding allotment per eligible activity.

INDIRECT COSTS

ESG grant funds may ***only*** be used to pay indirect costs in accordance with OMB Circular A-87 (2 CFR part 225), or A-122 (2 CFR part 230), as applicable. Indirect costs may be applied to each eligible activity using the direct cost base specified in the approved cost allocation plan.

Indirect costs charged to an activity with an expenditure limit

Indirect Costs + Direct Costs = Total Costs

Total Costs are then compared to the Expenditure Limit

Applicants wishing to include indirect costs in the proposal budget must attach a copy of the HUD approved cost allocation plan with the application.

E. BUDGET PROTOCOL

Provide detail to clearly identify expenses. Categories may be changed or eliminated to properly address the program budget. Identify the ESG Component for which funding is requested at the top of the budget: (i.e. - Street Outreach, Emergency Shelter, Homeless Prevention or Rapid Re-Housing. Applicant may only submit for one component plus HMIS per application).

Categories of Expense: Utilize the Category Headers and detail language in the Eligible Expense Section for the ESG Component to be implemented (Subtotal Categories (personnel, operations, services, capital costs, etc.) highlight subtotal lines

Example:

(Eligible Activity/Component: Street Outreach)

Expense Categories: Engagement, Case Management, Emergency Health Services, Emergency Mental Health Services, Transportation, Services to Special Populations

Detail provided under each category will be the specific expense items to carry out that function.

Personnel Costs – Must be the first line items of your budget (Regardless of Category) Identify full or part-time, % of time to program: Example 1FTE Case Manager .5. Provide fringe benefits at the bottom of personnel as a separate line item.

Other expenses – Specifically identify expense type i.e.: Utilities define by type: gas, electricity. Telephone break out equipment, service, cell phones, etc.

Administration Expenses – Include administration expenses on the separate Personnel Budget form to demonstrate capacity. Administration expenses are not an eligible cost under this RFP.

PROPOSED PROJECT FUNDING FORM

In order to ensure a true Continuum of Care within the City of Albany it is required that all financial support for the proposed ESG activity is noted in the below table. If applying for multiple activities complete this table per activity.

Agency Name: _____ Project Name: _____

Funding Stream	Amount of Funding	Funding Breakdown			
		Staffing	Financial Assistance	Administration	Other: (Define activity and amount of funding)
Requested Yr 43 ESG					
Proposed Yr 43 CDBG					
Current NYS OTDA STEHP					
Current and/or Expected Albany County Department of Social Service Funding					
Other (Name Source)					
TOTAL					

PERSONNEL BUDGET FORM

Staff providing direct client service for the ESG eligible activity proposed must be included on this form. The Executive Director and Lead Accountant, are not eligible for ESG funding as administrative positions, but must be included on this budget table, demonstrating agency capacity to implement the program.

Cost Category: Personnel Costs

NOTE: Job Descriptions for Must Be Attached To Budget Detail Form

Agency Name: _____ Project Name: _____

A	B	C	D	E	F	G	H
# OF POSITIONS	POSITION TITLE	MONTHLY SALARY	ANNUAL SALARY	% OF TIME TO PROGRAM	AMOUNT OF SALARY FOR PROGRAM IMPLEMENTATION (DxE)	AMOUNT OF PROGRAM IMPLEMENTATION SALARY BILLED TO ESG	AMOUNT OF PROGRAM IMPLEMENTATION SALARY ALLOCATED TO MATCH (IF ANY)
	Executive Director						
	Accountant						
TOTALS							

Funding sources for Executive Director

Funding sources for Accountant / Bookkeeper _____

Administrative and organizational staff time not eligible match. Use additional sheets as needed

Name of Program _____

PROGRAM BUDGET
Fiscal Year – Twelve Month Budget
ESG Eligible Component

ESG Eligible	Expense	ESG Expense	Other Funding Source	Total Cost
PERSONNEL				
Fringe				
Personnel subtotal				
Eligible ESG Component Expenses				
TOTALS (Sum each column)				

Use additional sheets if required. Column 3, ESG Expense, must total the entire amount requested. Utilize a separate sheet HMIS budget, if also requesting HMIS funding.

F. MATCHING SHARE:

Identify any non-McKinney-Vento Act funds and in-kind funds for matching share to be contributed in support of the proposed project.

Matching Funds: Identify an amount equal to or the requested amount of ESG funds. The amount of these supplemental funds may include the value of any donated material or building; the value of any lease on a building; any salary paid to staff in carrying out the emergency shelter program; and the time and services contributed by volunteers to carry out the program based upon a \$5 per hour rate, in-kind donations, Shelter Partnership or Food Bank contributions to the program. Funds must be contributed to and used by the ESG funded program for ESG eligible activities between June 1 2016 and May 31, 2017.

Source Match	Amount Cash or In-Kind	Period Available	
		From	To
TOTAL MATCH, SUM of Column 2 (must be equal to the amount of ESG funds requested.)			

SITE CONTROL

- (1) Site currently occupied by Applicant? ___ Yes ___ No
- (2) Does the applicant/shelter: Own, Rent, Lease, Lease with option?

\$_____Per month

If Lease, Term of Lease: From _____ To _____

If Lease, are any of the items below included in the Lease?

Electricity	___ Yes ___ No	\$ _____
Gas	___ Yes ___ No	\$ _____
Water	___ Yes ___ No	\$ _____
Garbage	___ Yes ___ No	\$ _____

Total Rent/Lease/Utility \$ _____

(3) Project Zoning:

- Zoning Designation:
- General Plan Designation:
- Designation Permit Shelter Use: ___ Yes ___ No
- If not, Entitlement Requirement:
 - ___ Zoning Variance
 - ___ Conditional Use Permit Waiver, granted by: _____
 - ___ Standard "R" Zoning
 - _____ Number of persons
- Certificate of Occupancy

OBJECTIVES, OUTCOMES AND OUTPUTS

HUD has prescribed a specific menu of objectives and outcomes to be used for all funded projects to standardize achievements reporting on a local, state and national level. Please evaluate your proposed projects according to the following definitions. Identify which objectives your project will address; then identify the proposed outcome your project will achieve. Please choose 1 objective and 1 outcome per project. Place a check mark indicating your choice. Keep in mind, if your project is funded, this information will be utilized in preparation the FY 2012-2013 Annual Plan and in reporting your accomplishments in the year-end Consolidated Annual Performance and Evaluation Report (CAPER).

Objectives:

Suitable Living Environment. Includes activities that benefit communities, families, or individuals by addressing issues in their living environment such as public services, emergency essential services, capital improvements, neighborhood revitalization, etc.

Decent Affordable Housing. Includes the wide range of housing programs possible under HOME, CDBG or ESG where the purpose of the program is to meet individual family or community needs and not programs where housing is an element of a larger effort (such as would be captured above in Suitable Living Environment).

Creating Economic Opportunities: Includes activities related to economic development, commercial revitalization, or job creation.

Outcomes:

Availability/Accessibility. Activities that make services, infrastructure, housing or shelter availability or accessible to low-income people, including persons with disabilities. Accessibility includes making the affordable basics of daily living available and accessible to low-income people.

Affordability. Activities that provide affordability in a variety of ways in the lives of low-income people. Includes the creation or maintenance of affordable housing, basic infrastructure, or services such as transportation or day care.

Sustainability: Promoting Livable or Viable Communities. Projects where the activity or activities are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to low-income people or by removing or eliminating slums or blighted areas, through multiple activities or services that sustain communities or neighborhoods

Objective and Outcomes: Check one box in each table below that best reflects your projects and outcomes. If your agency was funded for more than one project, please submit a separate form for each project that indicates the objectives and outcomes for that project. See sections above for projects applicable to each objective and outcome.

Objective	Check One
Suitable Living Environment	
Decent Affordable Housing	
Creative Economic Opportunities	

Outcome	Check One
Availability/Accessibility	
Affordability	
Sustainability: Promoting Livable or Viable Communities	

Table G: ESG Performance Measures

Please complete the below table in its entirety for each proposed project. If your agency did not receive ESG funding in prior years (Years 39 and/or 40), please leave these columns blank and complete Year 43 Proposed Measures only. Please refer to the Albany County Continuum of Care (CoC) Minimum Performance Requirements for ESG funding on the following page, Table H.

Agency Name: _____ **/ ESG Project Activity** _____

Performance Measures	Year 41	Year 42 – Report for 6.1.16 to 11.30.16	Year 43
ESG Project Performance Goal [For Year 43 please fill in proposed measures]			
ESG Project Performance Goal Attainment			
Narrative – Please provide information relevant to performance goals.			

Table H. Albany County Continuum of Care ESG Expected Performance Measures

ESG Activity	Albany CoC Required Performance Standards
Emergency Shelter Services	<p align="center">Reduce Rates of Homelessness <i>Expected Outcome: At least 30% of households will exit to permanent housing destinations</i></p>
Street Outreach	<p align="center">Expand Homeless Outreach Services <i>Expected Outcome: Provide services to at least 10% more households than previous year</i></p>
Homelessness Prevention	<p align="center">Reduce the Number of Homeless Households Seeking Emergency Shelter <i>Expected Outcome: There will be at least a 20% increase in diversions for homeless households within the City of Albany</i> <i>Expected Outcome: At least 80% of households served will maintain permanent housing for 90 days after discharge</i></p>
Rapid Rehousing Services	<p align="center">Reduce the Length of Homelessness for Homeless Households <i>Expected Outcome: At least 80% of households served will be placed in permanent housing within 60 days and At least 80% of households served will maintain permanent housing for 90 days after discharge</i></p>
Homeless Management Information System	<p align="center">Increase and Maintain Data Quality with HMIS <i>Expected Outcome: No more than 5% missing or null data for all required fields</i></p>

ATTACHMENT A (1 OF 1)

ATTACHMENT A: BOARD OF DIRECTORS AFFIDAVIT

All applicant agencies must complete this affidavit listing the members of the Board of Directors. If there are changes in the Board Membership after the proposal is submitted, the Grants Administration Division of the City of Albany must be notified in writing of the changes. Note with an asterisk (*) any Board members that are City of Albany residents, or consumers or previous consumers of homeless, at-risk of homelessness or low income services.

I, _____ (please print), depose and say that

I am _____, (President, Vice President, etc.) of _____, (Name and address of organization), which submits this proposal. The only other members of the Board of Directors and other officers of this organization are:

Board Member Name	Address

Use an additional sheet if necessary. Deposer must sign all Director's Affidavit pages.

Signature of Deposer and date

Name of deposer (print or type) _____

ATTACHMENT B: STATEMENT OF CERTIFICATIONS

- (a) It possesses the legal authority to apply for the grant, and to execute the proposed program;
- (b) Its governing body has duly adopted or passes as an official act or resolution, motion, or similar action authorizing the funding of the application, including all understandings and assurances contained therein, and authorizing the applicant's chief executive officer or other designee to act in connection with the application and to provide such additional information as may be required;
- (c) It will comply with the policies, guidelines and requirements of OMB Circular A-87 and A-102 as they relate to the acceptance and use of EMERGENCY SOLUTIONS GRANTS amounts by local governments, and A-110 and A-122 as they relate to the acceptance and use of EMERGENCY SOLUTIONS GRANTS amounts by private non-profit organizations.
- (d) It will comply with the following regarding non-discrimination:
 - (1) Title VIII of the Civil Rights Act of 1968 and implementing regulations;
 - (2) Executive Order 11063 and implementing regulations;
 - (3) Title VI of the Civil Rights Act of 1964 and implementing regulations;
 - (4) The Age Discrimination Act of 1975 and Section 5043 of the Rehabilitation Act of 1973;
 - (5) Executive Order 11246 and implementing regulations;
 - (6) Section 3 of the Housing and Urban Development Act of 1968;
 - (7) Executive Orders 11625, 12432, and 12138 regarding encouragement of minority and women's business participation;
 - (8) The prospective contractor's signature affixed hereon and dated shall constitute a certification under penalty of perjury under the laws of the State of California that the bidder has, unless exempted, complied with the non-discrimination program requirements of Government Code Section 12990 and Title 2, California Administrative Code, Section 8103;
- (e) For major rehabilitation or conversion, it will comply with the Uniform Federal Accessibility Standards (24 CFR Part 40, Appendix A);
- (f) No person who is an employee, agent, consultant, officer, or elected or appointed official of the non-profit recipient that receives EMERGENCY SOLUTIONS GRANTS amounts and who exercises or has exercised any functions or responsibilities with respect to assisted activities or who is in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a personal or financial interest or benefit from the activity, or have an interest in any contract, subcontract, or agreement

ATTACHMENT B (2 OF 3)

with respect hereto, or the proceeds there under, either for him or herself or those with whom he or she has family or business ties, during his or her tenure or for one (1) year thereafter;

- (g) It will comply with the applicable requirements of the Lead Based Paint Poisoning Prevention Act and implementing regulations;
- (h) It will not comply, award contracts to, or otherwise engage the services of any contractor while that contractor is in a period of debarment, suspension, or placement in ineligibility status under the provision of 24 CFR Part 24;
- (i) It will maintain records necessary to document compliance with applicable requirements and will give HUD, the City of Albany, or any of their authorized representatives access to and the right to examine all records related to the grant;
- (j) It will supplement its grant amount with an equal amount of funds from sources other than this grant after the date of grant award;
- (k) Reports required by the City or HUD shall be submitted in a timely manner and contain all required information as can reasonably be made available;
- (l) The requirements of 24 CFR 576.21(a)(4)(ii) providing that the funding of homeless prevention activities for families that have received eviction notices or notices of termination of utility services will not supplant funding for pre-existing homeless prevention activities from any other source;
- (m) The requirements of 24 CFR 576.51(b)(2)(iii) concerning the submission by non-profit organizations applying for funding of a certification of approval of the proposed project(s) from the unit of local government in which the proposed project is located;
- (n) The requirements of 24 CFR 576.51(b)(2)(v) concerning the funding of emergency shelter in hotels or motels or commercial facilities providing transient housing;
- (o) The requirements of 24 CFR 576.73 concerning the continued use of buildings for which EMERGENCY SOLUTIONS GRANTSs or used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services, concerning the population to be served;
- (p) The building standard requirements of 24 CFR 576.75;

ATTACHMENT B (3 OF 3)

- (q) The requirements of 24 CFR 576.77, concerning assistance to the homeless;
- (r) The requirements of 24 CFR 576.79, other appropriate provision of 24 CFR Part 576, and other applicable Federal laws concerning non-discrimination and equal opportunity;
- (s) The requirements of 24 CFR 576.80 concerning the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and,
- (t) The requirement of 24 CFR 576.80 concerning minimizing the displacement of persons as a result of a project assisted with these funds.

This certification is made under penalty of perjury.

CERTIFYING OFFICIAL:

(Print Name)

(Signature)

(Date)

ATTACHMENT C (1 OF 3)

ATTACHMENT C: OTHER FEDERAL REQUIREMENTS

Use of the **EMERGENCY SOLUTIONS GRANTS Program** requires compliance with the following additional requirements:

- (a) Non-discrimination and Equal Opportunity.
- (1) The requirements of Title VIII of the Civil Rights Act of 1968, 42 U.S.C. 3601-19 and implementing regulations; Executive Order 11063 and implementing regulations at 24 CFR Part 107; and Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2002d-1) and implementing regulations issued at 24 CFR Part 1.
 - (2) The prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101-7) and the prohibitions against discrimination against handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794);
 - (3) The requirements of Executive Order 11246 and the regulations issued under the Order at 41 CFR Chapter 60; and,
 - (4) The requirements of Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1801u (see 570.607 (b) of this Chapter); and,
 - (5) The requirements of Executive Orders 11625, 12432, and 12138. Consistent with HUD's responsibilities under these Orders, the grantee must make efforts to encourage the use of minority and women's business enterprises in connection with activities funded under this part.
- (b) Applicability of OMB Circulars. The policies, guidelines, and requirements of OMB Circulars Nos. A-87 and A-102, as they relate to the acceptance and use of EMERGENCY SOLUTIONS GRANTS amounts by States and units of general local government, and nos. A-110 and A-122 as they relate to the acceptance and use of EMERGENCY SOLUTIONS GRANTS amounts by private non-profit organizations.
- (c) Uniform Federal Accessibility Standards. For major rehabilitation or conversion, the Uniform Federal Accessibility Standards at 24 CFR Part 40, Appendix A.
- (d) Lead-Based Paint. The requirements, as applicable, of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 570.611(d) and (e) of this chapter).

ATTACHMENT C (2 OF 3)

- (e) Conflicts of Interest. In addition to conflict of interest requirements in OMB Circulars A-102 and A-110, no person who is an employee, agent, recipient, officer, or elected or appointed official of the grantee, State recipient, or non-profit recipient (or of any designated public agency) that receives EMERGENCY SOLUTIONS GRANTS amounts and who exercises or has exercised any functions or responsibilities with respect to assisted activities or who is in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a personal or financial interest or benefit from the activity, or have an interest in any contract, subcontract or agreement with respect thereto, those with who he or she has family or business ties, during his or her tenure or for one year thereafter. HUD may grant an exception to this exclusion as provided in 570.611(d) and (e) of this chapter.
- (f) Use of debarred, suspended, or ineligible contractors. The provisions of 24 CFR Part 24 relating to the employment, engagement of services, awarding of contract, or funding of any contractors or subcontractors funding any period of debarment, suspension, or placement in ineligibility status.
- (g) Flood Insurance. No site proposed on which renovation, major rehabilitation, or conversion of a building is to be assisted under this part, other than by grant amounts allocated to State, may be located in an area that has been identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, unless the community in which the area is situated is participating in the National Flood Insurance Program and the regulations there under (44 CFR Parts 59-79 or less than a year has passed since FEMA notification regarding such hazards), and the grantee will ensure that flood insurance on the structure is obtained in compliance with section 102(a) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001 et seq.
- (h) Audit. The financial management system used by a State or unit of local government that is a grantee or State recipient shall provide for audits in accordance with 24 CFR Part 44. A private non-profit organization is subject to the audit requirements of OMB Circular A-110.

In addition to, and not in substitution for, other provisions of this agreement, the Recipient:

1. Represents that if it is, or may be deemed to be a religious or denominational institution or organization or an organization operated for religious purposes which is supervised or controlled by or in connection with a religious or denominational institutional or organization; and,

ATTACHMENT C (3 OF 3)

2. Agrees that, in connection with such essential services and operational costs
 - a. it will not discriminate against any employee or applicant for employment on the basis of religion and will not limit employment or give preference in employment to persons on the basis of religion;
 - b. it will not discriminate against any persons seeking emergency shelter and related services on the basis of religion and will not limit such services or give preference to persons on the basis of religion;
 - c. it will provide no religious instruction or counseling, conduct no religious worship or services, engage in no religious proselytizing, and exert no other religious influence in the provision of housing or emergency services; and,
 - d. the portion of the facility used as an emergency shelter assisted in whole or part under this agreement shall contain no sectarian or religious symbols or decorations.

- (i). Building Standards (subpart 576.75) Any building for which EMERGENCY SOLUTIONS GRANTS amounts are used for renovation, conversion, or major rehabilitation must meet local government safety and sanitation standards.

- (j). Relocation and Acquisition (subpart 576.80) Minimizing displacement - Consistent with other goals and objectives of this Part, grantees and recipients must assure that they have taken all reasonable steps to minimize the displacement of persons (families, individuals, businesses, non-profit organizations, and farms) as a result of a project assisted under this part.

- (k). Drug-Free Workplace Act of 1988. The sub-recipient will comply with maintaining a drug-free work site by enforcing the requirements of 24 CFR Part 24, subpart F.

CERTIFYING OFFICIAL:

(Print Name)

(Signature)

(Date)

