

Request for Proposals (RFP)

for the

Emergency Solutions Grants (ESG) Program

for the periods of:

July 1, 2013- June 30, 2014 (City)
August 1, 2013 – July 31, 2014 (County)



City of Rochester and Monroe County

Issued: Thursday, March 28, 2013

Due: Thursday, April 25, 2013 by 12:00 p.m. (noon)



BIDDER'S INFORMATIONAL MEETING:

Thursday April 11, 2013

1:00 – 3:00 p.m.

**The Central Library of Rochester & Monroe County
Kate Gleason Auditorium in the Bausch and Lomb Public Library**

Building

115 South Avenue, Rochester, NY 14604

Funding for 2013-14 Emergency Solutions Grants (ESG) Programs in the City of Rochester and Monroe County

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Additional Resources:

- 1. 24 CFR Parts 91 and 576 (Part 576 pertains to ESG implementation)
- 2. HUD Power Point of December 15th, 2011: *Emergency Solutions Grants (ESG) Program Components and Activities*
- 3. Homelessness Resolution Strategy for Rochester and Monroe County: Final Report prepared for the City of Rochester, submitted September 2012 as revised March 6, 2013
- 4. Ten Year Plan to End Homelessness, *Housing Options for All*
- 5. FY 2013 U.S. Dept. HUD Income Limits Summary

City of Rochester and Monroe County

Emergency Solutions Grants (ESG) Program

Part 1. Introduction and Background

The City of Rochester, hereinafter referred to as the “City,” and Monroe County, hereinafter referred to as the “County”, seek proposals from qualified not-for-profit providers to participate in a comprehensive community service delivery program intended to ameliorate homelessness.

This request for proposals for the 2013-14 ESG program year is based upon two significant undertakings: the previously conducted advance joint planning by the City, the County, the Continuum of Care (CofC), the United Way of Greater Rochester, and the Homeless Services Network (HSN), and much more recently, the completed *Homelessness Resolution Study for Rochester and Monroe County* by Housing Innovations, Inc. under contract with DePaul Key Housing, Inc. in an agreement with the City of Rochester. The 2013-14 Emergency Solutions Grants Program, hereinafter referred to simply as “ESG” is envisioned to strengthen and expand the current array and availability of services and programs for individuals and families who are homeless or at risk of homelessness in the greater Rochester community.

Background

Federal HEARTH ACT: In 2009, significant changes were made to federally-funded homeless programs, including ESG, with the passage of the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act. The HEARTH Act is the first significant reauthorization of the McKinney-Vento Homeless Assistance Programs since 1992.

HEARTH Act policies, reflecting the national shift from a traditional emphasis on providing emergency shelter to a focus on homelessness prevention and rapid rehousing, broaden existing emergency shelter and homelessness prevention activities,

emphasize rapid re-housing to help people quickly regain stability in permanent housing after experiencing a housing crisis, support a coordinated access and intake, and call for an effective data collection, performance measurement, and program evaluation system.

In 2012, the administering federal agency, the U.S. Department of Housing and Urban Development (HUD) released its new policies and regulations pursuant to the HEARTH Act that will impact the 2013-2014 funding cycle. (See Additional Resources 1 & 2).

HOMELESSNESS RESOLUTION STRATEGY REPORT

The City of Rochester engaged a consultant organization, Housing Innovations, Inc. to help Rochester and Monroe County move closer toward our longstanding goal of ending homelessness in our community. As excerpted from the resulting report, *Homelessness Resolution Strategy in Rochester and Monroe County* (See Additional Resources 3), author Suzanne Wagner eloquently sets the stage for change in the approach to homelessness:

During the past decade, homeless systems across America have been radically transforming the way they deliver services -- moving from managing homelessness to ending it. Communities have embraced new approaches such as Housing First and Rapid Rehousing which have proven to quickly end people's homelessness permanently, while saving money in the process. Research has documented the effectiveness and efficiency of these interventions and the evidence continues to build. Traditional approaches to the issue such as endless engagement by street outreach workers and assisting people to become "housing ready" have been abandoned. We have learned that the most effective approaches move people out of the crisis of homelessness as rapidly as possible and provide services and supports in their homes to help them achieve housing stability.

Additionally, the body of research supporting social services practice interventions that enhance and amplify these housing approaches such as Critical Time Intervention, Stages of Change and Supported Employment has been growing.

Finally, the Federal Strategic Plan to End Homelessness, *Opening Doors* and the HEARTH (Homeless Emergency Assistance and Rapid Transition to Housing) Act (which re-authorizes McKinney Vento funding from HUD) have created new goals and outcomes for communities to use to measure their progress in solving homelessness. They explicitly promote

Rapid Rehousing and Permanent Supportive Housing and HUD will evaluate communities (and distribute funding) based on their success at reducing the numbers of homeless people, reducing the length of time people spend in the crisis of homelessness and success at increasing incomes and exits from homeless systems to permanent housing.

REPORT RECOMMENDATIONS

Wagner continues with recommendations for best practices, which have been accepted by the City and County as well as the homeless services providing network at large. She notes:

Rochester and Monroe County have embraced these new housing approaches and practice strategies, creating Housing First Permanent Supportive Housing and Rapid Rehousing responses. The recommendations to follow seek to build on the progressive approach the community has been engaged in.

Recommendations for Best Practices

1. Continue to implement diversion as the first response to a housing crisis and use the Shinn-Greer Tool to prioritize services
2. Adopt a rapid exit/housing first approach for the entire system
3. Increase Rapid Re-Housing
4. Use Progressive Engagement in Providing Services
5. Implement a Housing Stabilization Case Management Approach using Critical Time Intervention (CTI)
6. Improve practice and capacity in Permanent Supportive Housing (PSH)
7. Implement data driven decision-making and evaluation through measurement of outcomes
8. Ensure Leadership and Accountability for (this) plan

LOCAL SERVICE PROVIDER NETWORK DEVELOPMENT

Coordinated Access is a new way of doing business that will challenge our community to direct resources in new, innovative ways, and allows for investment in a Continuum of Care (CoC) infrastructure. Coordinated Access is envisioned to overcome barriers that individual programs cannot address as it will allow communication, coordination, and collaboration to be brought to scale on a community-wide level. Outcome goals of Coordinated Access include, but are not limited to: diverting entry into shelter by finding alternative housing or sustaining existing housing, decreasing the average length of a homeless episode, strategically and efficiently aligning scarce community resources, and bridging agency and program boundaries.

Rochester and Monroe County homeless/homelessness service providing organizations are working together to carry out the mission of preventing and ending homelessness in our community. By requiring service providing organizations to embrace a coordinated access and intake system, capacity for providing housing assistance to all those within the community with a housing need will be improved. This coordinated access system, hereinafter referred to as “Coordinated Access,” is currently under development by a group of homeless/homelessness prevention professionals acting on behalf of the larger group of homeless/homelessness service providing organizations.

With oversight, a Coordinated Access system is envisioned to more successfully prevent homelessness and rapidly re-house homeless people. Via the establishment of diversion screening as the very first step, such as a coordinated intake system will lead to a uniform resource assessment and delivery process. As a result, duplication of services will be reduced and gaps within the community’s system will be more easily identified. Coordinated Access will require development of a common assessment strategy and implementation of common procedures and assessment forms at each client’s first entry to the homelessness service provider network. To support Coordinated Access, the homelessness service provider network is just embarking on the next stage to develop this Common Assessment process, including a common assessment form and intake procedure.

Part 2. ESG Program Description

ESG offers funding assistance to public and non-profit organizations that are responding to the needs of homeless populations through a comprehensive community-wide planning process and implementation strategy, as articulated in this community's Ten Year Plan to End Homelessness *Housing Options for All* (2007) (See Additional Resource 4). Fundamental principles and strategies that will guide ESG program development and proposal selection are listed below.

Fundamental Principles And Strategies

guiding ESG program development and proposal selection

1. Collaboration within the homeless services community to assist the hardest to serve. Breaking down silos, or barriers, to collaboration and coordination across the service community to ensure that local, state, and federal resources are used effectively and efficiently to end homelessness
2. Ensuring emergency housing needs are met
3. Use of shelter beds and transitional housing only when necessary--with a Housing First approach
4. Re-alignment of programs--working as a community to re-align program dollars to keep people housed or to rapidly re-house them
5. Adoption of proven tools to prevent and end homelessness--use of a comprehensive community-based prevention and rapid re-housing system that embraces Progressive Engagement and Housing First philosophies. Promotion of program models with successful measurable outcomes that are supported by data
6. Uniform data collection, analysis, and reporting--Collection and analysis of data via the Homeless Management Information System (HMIS). (Please note: Providers of services to victims of domestic violence and other special needs populations are exempt from HMIS participation)
7. Building of public support and political will for ending homelessness--sharing data and best practices with mayors, county officials, schools, and other interested parties

8. Creating a communications plan--notification of key partners in the community, including mainstream service partners, government officials, consumers, and the general public about how coordinated access works (via social media, brochures, and informational meetings, for example), and
9. Continuous Quality Improvement

Part 3. 2013-14 ESG Goals and Objectives

ESG supports services intended to meet the goal of alleviating or preventing homelessness. ESG service objectives must be designed to comply with and carry out the goals and initiatives of the City and the County. For further articulation of homelessness resolution goals, see the City of Rochester Housing Policy (see Attachment I ["eye"]), which includes coordinating tenant services that reduce unwanted transiency and encourage accountability that will result in longer-term tenancies.

HUD 24 CFR Part 576 (see Additional Resources) and the slide print of the December 15, 2011 HUD PowerPoint presentation entitled *Emergency Solutions Grants Program Components and Activities* (see Additional Resources) provide more detail.

Important note: City and County funds will not be available for use for all eligible activities as set out in HUD regulations. Following is an outline of the services the City and County intend to fund.

2013-14 City and County ESG Goals and Objectives

I. HOMELESSNESS PREVENTION/RAPID RE-HOUSING SERVICES

- A. Housing relocation and stabilization services
- B. Housing relocation and stabilization financial assistance (ex., Security deposits)
- C. Rental Assistance

II. EMERGENCY SHELTER AND SHELTER DIVERSION

- A. Up to 30 Overflow Capacity Shelter Beds at peak demand

- B. Up to 40 Added Year-Round Shelter Beds.
- C. Emergency Shelter year round operation.

III. **ESSENTIAL SERVICES**

- A. Case Management
- B. Life Skills
- C. Transportation
- D. Services to Special Needs Populations (specify)

For additional information, see Part 5. Priority Services Categories, below.

Part 4. Eligible Populations

Eligible populations to receive assistance through the ESG Program are organized into five categories:

- Single men
- Single women
- Single parents with children
- Families
- Youth and young adults

Upon implementation, the Common Assessment policies, procedures, practices and intake and referral forms will be utilized in service to all clients.

For Financial Assistance Only

Eligible to receive financial assistance through ESG are those individuals and families, homeless or at-risk of homelessness, who meet three conditions:

- 1) The household income is at or below 30% of the Area Median Income (AMI). See Additional Resource 5);
- 2) The household lacks the financial resources and support networks needed to obtain immediate housing or remain in its existing housing;
- 3) No appropriate subsequent housing options have been identified at the point of service application

Part 5. PRIORITY SERVICE CATEGORIES

For the 2013-14 ESG Program, services sought by the City and County include **only** the following priority areas. Proposed services that do not meet the description of one or more of the priorities below will not be considered for funding.

I. HOMELESSNESS PREVENTION/RAPID RE-HOUSING SERVICES

This may include housing search and financial assistance such as direct rental and utility payments for eviction prevention or assistance to move to other housing.

Service also includes referral to eviction prevention services (ex., legal services).

(Note: the City and County fund legal assistance, and legal services are not subject to this RFP.)

II. EMERGENCY SHELTER AND SHELTER DIVERSION

1. Up to 30 Added Overflow Capacity Beds at peak demand. The community goal is for establishment and/or construction of a total of up to thirty (30) shelter beds. Overflow units for families should be able to accommodate households with a male head of household and adolescent boys. These overflow beds should be used for persons who present after regular business hours so as to avoid having to make hotel placements. For after hours shelter needs, applicants could be screened by phone and if not diverted, be directed to shelters with overflow capacity. Vacancy information will be reported regularly by all shelters and maintained in the HMIS.

2. Up to 40 Added Year-Round Shelter Beds. The community's goal is for establishment and/or construction of a total of up to forty (40) shelter beds that will be added to the community inventory, and available throughout the year, and that can accommodate one or more of the eligible populations. Like Overflow units, year-round shelter beds for families should be able to accommodate households with a male head of household and adolescent boys. Vacancy information will be reported regularly by all shelters and maintained in the HMIS.

- 3. Emergency Shelter Year-Round Operation.** The staffing, maintenance, operating costs necessary to operate and maintain emergency shelters, and also to provide other emergency lodging when appropriate.

III. ESSENTIAL SERVICES

The City and County will only consider application for one or more of the Essential Services described as follows:

- 1. Case Management:** Assessing, arranging, coordinating, and monitoring individualized services. Also included is providing housing stabilization as determined in needs assessment.
- 2. Life Skills:** Critical life management skills necessary to assist the program participant to function independently in the community.
- 3. Transportation:** Costs of travel by participants to and from shelters and overflow shelters and also medical care, employment, child care, or other facilities that provide eligible Essential Services; and cost of staff travel to support provision of Essential Services.
- 4. Services to Special Needs Populations (specify):** Otherwise eligible for Essential Services (as in 1, 2, and 3 above) tailored to address special needs, for example, victims of domestic violence and related crimes/threats.

Part 6. ESG Reporting Requirements

System Participation in HMIS: Recipients of ESG Program funds will be required to participate in HUD's program case data collection system, the Homeless Management Information System (HMIS).

Additionally, the City and the County reserve the right to request reports and analyses of a programmatic nature.

Community Collaboration Strongly Encouraged

Because housing services network development is key to the continued development of a comprehensive model for services to those who are homeless/at risk of homelessness, the City and County invite and strongly encourage local collaboration among qualified service and community organizations, groups and resources to respond to this RFP.

Part 7. Proposal Submission Instructions

Proposals must be submitted no later than **Thursday, April 25 at 12:00 p.m. (noon)**.

Electronic Submission Preferred*

Applicants must submit:

One (1) copy-ready original proposal delivered via electronic mail to Julie Beckley, Senior Community Housing Planner at

beckleyj@cityofrochester.gov

Please note: Arrival of a proposal with an electronic date/time stamp of any date/time later than April 25, 12:00 p.m. (noon) may not be accepted.

****In the event Computer Services are not available to the Applicant,*** please use the following submission instructions:

FOR HARD COPY SUBMISSION ONLY:

Applicant must submit: One (1) copy-ready original proposal delivered to

Department of Neighborhood and Business Development (DNBD)
Attn: Receptionist
City of Rochester, 30 Church Street, Room 005 - A
Rochester NY 14614

Upon submission, ask the Receptionist for a written receipt, indicating the date and time of delivery. **Please note:** If mailing the submission via U.S. Post Office, the document must be in at the DNBD receptionist desk in City Hall no later than 12:00 p.m. on April 25, 2013, regardless of postmark. Delivery of a proposal any date/time after April 25, 12:00 p.m. (noon) may not be accepted.

Part 8. PROPOSAL ELEMENTS

The proposal should include the following information in the order specified:

A. Proposal Application Cover Page

See required form (Attachment B). Note: this is a two-page form.

B. Proposal Checklist

See required checklist (Attachment C)

C. Consultant Qualifications Brief

Documented evidence of the consultant's qualification for this project and capacity to perform the work should be described herein, including certifications and/or licenses as appropriate and information about prior contracts similar to that being solicited. Include complete descriptions of any and all collaborative relationships with local organizations that are to be formed for this project. For collaborative proposals, include complete organization documentation for each organization on the team, not only for the lead organization.

D. Project Narrative

A project narrative that conveys the consultant understands the requested services, includes the proposed methodology to arrange and furnish the services, and describes the value the consultant will bring to the process. If the consultant is proposing more than one program (i.e., transitional housing and homelessness prevention) OR project site, the proposal must contain a Narrative, Evaluation Plan, and Budget with Budget Narrative for each.

D.1. Proposed Service(s) Narrative

The narrative must address at a minimum the following program elements:

- (i) Statement of Priorities and Policies regarding selection of and service to clients, including intended impact of ESG services on homeless individuals and families and those at risk of homelessness

- (ii) Alignment with the goals and priorities as outlined in the City of Rochester Housing Policy (see Attachment I [“eye”]), and the *Homelessness Resolution Strategy for Rochester and Monroe County Final Report* (see Additional Resources)
- (iii) Profile of persons and projected number(s) to benefit from each proposed ESG service.
- (iv) A timeline that incorporates key dates set forth in this RFP and identifies appropriate assignments, tasks, and activities to achieve stated outcomes.
- (v) Only for overflow bed applications: Please also provide the date of projected availability.

D.2. Proposed Service Evaluation Plan

A written description of the data collection and evaluation activities in which the consultant will engage to insure project results meet stated objectives.

D.3 Proposed Service Staffing Plan

A detailed narrative to accompany the forms provided (Attachments D-H), as appropriate, outlining the project staff to be hired as direct employees of the lead and subcontracting agency plus detail on the number of caseworkers, administrative support staff and any other staff positions identified as necessary to carry out the project. Please include a statement of your capacity to provide direct client services in languages other than English.

Living Wage

The City will require pay that is in compliance with the Living Wage. (Until June 30, 2013, the Living Wage rates are: \$11.11/hour for covered employees who are offered health insurance benefits by the covered employer; and \$12.41/hour for covered employees who are NOT offered health insurance benefits by the

covered employer. A certification form is attached for list of titles and pay rate covered by this proposal.

D.4 Proposed Service Budget & Budget Narrative

An itemized budget, including the required one-to-one (1:1) cash and/or approved in-kind services match on the forms provided (Attachments D-H), with a succinct budget narrative including consultant staff hours, salaries and billing rates, equipment and supply purchases. Include same for other and/or ancillary subcontracted services.

In addition, a copy of the full budget for the entire applicant agency must be submitted as an attachment.

PART 9. REQUIRED PROPOSAL FORMAT

For a proposal to be considered for review:

- 1) The document must be formatted with one-inch margins and typed in 1.5 space format with not less than a 12 point font for readability;
- 2) The Required Proposal Cover/ Page 1 (Attachment B) must be completely filled out and submitted as the first page of the proposal. Note: this is a two-page form; and,
- 3) The Required Proposal Checklist (Attachment C) must be submitted with **ALL** the information requested.

The proposal should include the following elements, as listed, in the order specified:

1. Cover Page - See required form-- Note: this is a two-page form (Attachment B).
2. Proposal Checklist - See required checklist (Attachment C).
3. Consultant Qualifications Brief
4. Project Narrative
5. Evaluation Plan
6. Budget - See required forms (Attachment s D-H) & Budget Narrative for each proposed service

PART 10. PROPOSAL REVIEW

ESG awards will be determined through a competitive RFP process. Proposals will be reviewed by a panel convened by the City and County. Written proposals should provide sufficient information to enable the review team to form a recommendation. The City and County reserve the right to reject any application that is determined to contain incomplete and/or incorrect information, or otherwise does not meet the requirements as set forth in this RFP, or fails to demonstrate feasibility to carry out the proposed activities in an effective and timely manner. The City and County reserve the right to request individual applicants to submit additional information needed to make final determinations.

Further, the City and County reserve the right to engage any or all respondents in a telephone conversation or to invite any or all respondents to an interview to explore further the possibility of an engagement. Participation in such a telephone conversation or interview upon such an invitation would be voluntary, and does not indicate outcome of the proposal review. Any expenses resulting from such an interview would be the sole responsibility of the consultant.

Upon selection and mutual agreement, the consultant will enter into written agreements with the City and/or the County. Neither the City nor the County discriminates in any aspect of contracting on the basis of age, creed, color, disability, gender, marital status, national origin, race, or sexual orientation.

Part 11. Proposal Evaluation Criteria

City and County selection of ESG contractors will adhere to HUD ESG policies and regulations relative to achieving the fullest array of services which fall into the service categories shown below. The City and County will only consider application for one or more of services as described (in Part 5, Priority Service Categories). Respondent organizations which have successfully demonstrated, to the satisfaction of the City and County, the greatest capacity to deliver ESG services, and to fully comply with the conditions and requirements set out in this RFP will be selected for contract

engagement. Using a point system, the chart below indicates how proposals will be evaluated.

<p align="center">2013-14 ESG Program Proposal Evaluation</p> <p align="center">Criteria Elements</p>	<p align="center">Maximum Point Value</p>
<p>1. Responsiveness to the ESG service categories being sought by the City and County</p>	<p align="center">25</p>
<p>2. Comprehensiveness, soundness and efficacy of the proposed ESG Program</p>	<p align="center">15</p>
<p>3. Strategic and sound collaboration with community partner(s)</p>	<p align="center">5</p>
<p>4. Impact of the proposed ESG service projections on goals, priorities and best practice recommendations of:</p> <ul style="list-style-type: none"> a. The City of Rochester Housing Policy b. The recommendations of the Homelessness Resolution Strategy for Rochester and Monroe County Report c. The community's Ten Year Plan to End Homelessness, Housing Options for All 	<p align="center">15</p>
<p>5. Feasibility of proposed ESG Program service delivery implementation plan</p>	<p align="center">25</p>
<p>6. Consultant's demonstrated capacity for program implementation and management, including human resource functions and projections, as based on relevant experience and reference checks of the consultant</p>	<p align="center">15</p>

Part 12. SERVICE CONTRACTS

The amount agreed upon by the City, the County and the respective consultant(s) will provide compensation for services, expenses, and service-related overhead. A disbursement schedule will be negotiated with consultants. In no event will the sum disbursed by the City or County exceed the stated amount of the contract, unless

approved by City Council and/or County Legislature, respectively, and agreed to in writing and in a manner required of the City and/or the County by law.

For the 2013-14 program year, the ESG contract minimum will be \$20,000. The City and the County reserve the right to offer a contract award greater or less than the amount requested in the proposal.

Funding awards must be matched by cash or pre-approved in-kind resources at a one-to one ratio (1:1). As stated above, awards and services are subject to change in order to comply with Federal and/or City and County instructions.

Contract Terms

Subject to funding availability, the City and the County will select providers to enter into one year contracts. The City fiscal year is July 1, 2013 through June 30, 2014. The County fiscal year starts one month later and goes from August 1, 2013 through July 31, 2014. For both City and County contracts, renewal may be considered, but is not guaranteed.

Part 13: Timetable

The timetable for the proposal review and selection process is as follows:

Note: With the exception of the RFP issue and proposal due dates, all dates are approximate and subject to change.

Thursday, March 28, 2013	ESG Program RFP Issued
Thursday April 11, 2013 1:00 – 3:00 p.m.	Bidder's informational meeting: The Central Library of Rochester & Monroe County - Kate Gleason Auditorium in the Bausch and Lomb Public Library Building, 115 South Avenue, Rochester, NY 14604
Thursday, April 25, 2013 12:00 p.m. (noon)	Proposals Due
by June 18, 2013	City Council Action
July 1, 2013	ESG Program Begins (City)
August 1, 2013	ESG Program Begins (County)

Questions

regarding this RFP may be e-mailed to:

Cathy Shafer
Monroe County
Community Development Assistant

at:

cshafer@monroecounty.gov

E-mailed questions will be accepted through Monday, April 8, 2013 at 12:00 p.m. (noon).

Written answers to all questions received will be distributed at the April 11th Bidders' Informational Meeting.

At the conclusion of the April 11 Bidders' informational meeting, a Q & A document will be posted where the ESG Program RFP originally appeared on the City website at www.cityofrochester.gov/bidandrfp and the County website at www.monroecounty.gov/planning-community.php

Glossary of Terms

<u>Acronym</u>	<u>Stands for:</u>
AMI	Area Median Income
CoC	Rochester/Monroe County Homeless Continuum of Care Team
Consultant	Organization or individual, providing service(s) through an agreement/contract
Common Assessment	An evaluation strategy utilizing a common set of processes across a community system to facilitate coordinated access to services (see below)
Common Assessment Tool or Form	Required by the HEARTH Act, this is a locally developed form for use by all direct service providers for client intake
Coordinated Access	A common set of processes across a system to access a defined set of resources consisting of four major processes – access, assessment, assignment/referral to services and accountability/oversight. Includes common assessment and decision-making procedures that are standardized within a community. Intake can be conducted at one or more, including virtual locations (e.g., telephone, online)
Critical Time Intervention	An approach to case management practice focusing on time-limited intervention to stabilize people in housing
DHS	Monroe County Department of Human Services
ESG or ESG Program	Emergency Solutions Grants Program funded by HUD
Heading Home	Greater Rochester community's comprehensive community service intended to ameliorate homelessness funded with HPRP funds
HEARTH Act	Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act
HMIS	Homeless Management Information System: HUD's common data base for each client. The summary of client data is also reported in HUD's database of total performance.
Housing First	A new approach to homelessness whereby people are housed first and secondarily supplied with supportive services to help them maintain housing
Housing Innovations, Inc.	New York City-based City of Rochester consultant, author of <i>Homelessness Resolution Strategy for Rochester and Monroe County</i>
HSN	Homeless Services Network
HUD	United States Department of Housing and Urban Development

Glossary of Terms, cont.

<u>Acronym</u>	<u>Stands for:</u>
Progressive Engagement Engagement	A new approach to homelessness whereby people are provided with the minimum amount of assistance required to move them to permanent housing and then given additional assistance if the initial support is inadequate.
Schinn-Grier Assessment Tool	Social scientists Beth Shinn and Andrew Greer of Vanderbilt University completed research in 2012 that has validated a quick screening tool, or interviewing script, to prioritize households for prevention services that are most likely to be homeless.

Proposal Application/ Page 1: Use this form only. This is a Two-page form.

**City of Rochester and Monroe County
Response to Request for Proposal
2013-14 ESG Program PROPOSAL**

Respondent Organization _____

Name and Title of Director/Chief Executive _____

Street Address: _____

City, State & Zip: _____

If different from Street Address, Mailing Address: _____

Contact Person for this Proposal: Name, Title: _____

Contact Telephone No.: _____ Contact E-Address: _____

Fax Number: _____ Website URL: _____

A check indicates the following required documents are attached:

- _____ 501 (c) 3 Certificate
- _____ Certificate of Liability Insurance (See Attachment O)
- _____ Certificates of NYS Workers' Compensation & Employee Disability Coverage (or Affidavit of No Employees)
- _____ Living Wage Certification for proposals over \$50,000
- _____ List of Board of Directors with identification of any compensated members
- _____ Statement of Homeless or Formerly Homeless Participation (See Attachment M)

Taxpayer I.D. No.: _____ DUNS Number: _____

For proposals requesting in excess of \$25,000, SAMS Cage Number: _____

Description of Organization: _____

Office Hours/Days and Hours of Operation: _____

ASSURANCES

_____ Initial On behalf of the _____ organization, it is agreed by this application, that this agency and co-applicants will comply with Federal and City/County requirements for provision of ESG services.

_____ Initial Participation in HMIS (Homeless Management Information System) – Unless prohibited by regulations exempting applicant's service population, the applicant will participate in HMIS, the HUD-required data system.

_____ Initial Community Cooperation and Collaboration - This organization will participate in interagency cooperative planning and service delivery to support participants' entry for services. Planning participation includes support for community efforts currently underway for : a) development and adoption of a COMMON ASSESSMENT tool, b) development and adoption of COORDINATED ACCESS for participants/clients and c) elimination of hotel placement as an option for temporary shelter.

Signed by: _____ Title: _____

Date: _____

Proposal Checklist

This checklist is to be filled out and returned with the Proposal – no exceptions.

Preparer's Initials	I CERTIFY THE FOLLOWING ACTIONS HAVE BEEN TAKEN IN PREPARATION OF THIS SUBMISSION:
	The entire contents of this proposal package have been reviewed.
	All information requested on the required forms has been supplied in the required format.
	The enclosed proposal is typed in a 12 point font with a 1.5 space format
	All pages have been numbered sequentially.
	The required Proposal Cover Page is signed and dated and provided as the first page of the proposal, then followed by the requested information in the order specified in Part 8., Proposal Elements.
	All questions in the Proposal Narrative section have been answered directly and completely.
	(Optional) Letters of Support are included.
	Required List of Members of the Board(s) of Directors is included.
	DUNS number is provided. SAMS number is provided if proposed budget is over \$25,000
	For proposals over \$50,000, a signed Living Wage Certification is submitted.
	Required Insurance Certificates, Workers Comp, and Employee Disability Coverage (or Affidavit of No Employees) are provided
	Required Statement of Homeless/Formerly Homeless Participation is provided.
	Any additional information to the proposal has been marked as "Attachment".
	<p>One (1) proposal will be sent <u>via electronic mail</u>*to:</p> <p style="text-align: center;">Julie Beckley, Senior Community Housing Planner at beckleyj@cityofrochester.gov</p> <p>*alternatively, one (1) camera-ready proposal will be delivered to:</p> <p style="text-align: center;">Department of Neighborhood and Business Development (DNBD) Attn: Receptionist City of Rochester, 30 Church Street, Room 005 - A Rochester NY 14614</p>

Consolidated Community Development Plan - Improve Housing Stock and General Property Conditions

Promote Housing Choice Fund

2013 -14 Emergency Solutions Grant

Agency

Project

Term: FY 2013-14

Notes: A. Items detailed below are not required to be budgeted; B. Delete non-applicable items from the final worksheet

Component: EMERGENCY SHELTER

Reference Subpart B 576.102

City Use ONLY/MUNIS CODE	Expense	Rate	Hours	Amount	
		ESSENTIAL SERVICES			
	Essential Services - Payroll: including Case Management, Payroll expenses for Transportation (transporting)				
	Fringe				
	Essential Services - Transportation including: transportation to shelters, participants' travel on public transit, mileage (@\$.0565/mi max.) for staff to visit participants & assist participants, , cost of staff to accompany or assist participants to use public transportation.				
					Subtotal
	SHELTER OPERATIONS				
	Shelter Operations - Maintenance Payroll				
	Shelter Operations - Security Payroll				
	Shelter Operations - Payroll - Other Ex: food service, case work				
	Fringe				
	Non- payroll	Rate (if applicable)	Hours/units (if applicable)		
	Maintenance (including minor or routine repairs)				
	Rent				
	Security				
	Fuel				
	Insurance				
	Utilities				
	Food				
	Supplies necessary for shelter operation				
	Equipment				
	Furnishings				
	Indirect Costs (See Indirect Cost Worksheet)				
					Shelter Operations Subtotal
	EMERGENCY SHELTER Total				Total Emergency Shelter

MATCH

Total

Other funding sources

Consolidated Community Development Plan - Improve Housing Stock and General Property Conditions
 Promote Housing Choice Fund

2013 -14 Emergency Solutions Grant

Agency

Project

Term: FY 2013-14

Notes: A. Items detailed below are not required to be budgeted; B. Delete non-applicable items from the final worksheet

Component: Emergency Shelter - OVERFLOW BEDS

Reference Subpart B 576.102

576.102 (a) (2) Renovation; 576.102 (a) (3) Shelter Operations

Number of beds by client category: Single men _____; Single women _____; Single parents with children _____;
 Families _____; Youth and young adults _____

City Use ONLY/MUNIS CODE

Expense	Rate If applicable	Hours If applicable	Amount
RENOVATION			
Labor			
Fringe			
Materials			
Tools			
Total			
SHELTER OPERATIONS First time expenses for additional beds			
Supplies necessary for additional beds			
Equipment			
Furnishings			
Indirect Costs See Indirect Cost Worksheet			
Emergency Shelter Additional Beds	Total		

MATCH		Total	
Other funding sources			

Consolidated Community Development Plan - Improve Housing Stock and General Property Conditions

Promote Housing Choice Fund

2013 -14 Emergency Solutions Grant

Agency

Project

Term: FY 2013-14

BUDGET WORKSHEET Note: A. Items detailed below are not required to be budgeted; B. Delete non-applicable items from the final worksheet

Component: Emergency Shelter Reference Subpart B 576.102 ADDED YEAR ROUND BEDS

576.102 (a) (2) Renovation; 576.102 (a) (3) Shelter Operations
 Number of beds by client category: Single men _____; Single women _____; Single parents with children _____;
 Families _____; Youth and young adults _____

		Expense	Rate If applicable	Hours If applicable	Amount
RENOVATION					
		Labor			
		Fringe			
		Materials			
		Tools			
		Total			
SHELTER OPERATIONS First time expenses for additional beds					
		Supplies necessary for additional beds			
		Equipment			
		Furnishings			
Indirect Costs See Indirect Cost Worksheet					
		Emergency Shelter Additional Beds Total			

City Use ONLY/ CODE MUNIS

MATCH		Total
Other funding sources		

Consolidated Community Development Plan - Improve Housing Stock and General Property Conditions

Promote Housing Choice Fund

2013 -14 Emergency Solutions Grant

Agency

Project

Term: FY 2013-14

BUDGET WORKSHEET Note: Enter Indirect Cost only for Components proposed

INDIRECT COST Reference Subpart B 576.109

	Component	Amount	Rate	Total
Emergency Shelter				
Prevention				
Rapid Rehousing				
	Total			

City Use ONLY
MUNIS CODE

Enter Indirect Cost(s) in Budget Worksheets for each Component in Proposal

Indirect Cost Plan Guide Packet

To put together a proper cost allocation rate for charging administrative or indirect costs to a contract you need to first identify what costs are indirect. Usually these include rent/lease, utilities, supplies, general equipment (not specifically for a program), marketing (not specifically for a program), security, audit/legal fees, maintenance, and clerical and administrative staff

Method #1 – using current year actual indirect costs:

If you are charging direct salaries to the grant you can use that as the basis. If you have a staff of 20 and 2 are charged to the grant you can charge 10% of your agency actual indirect costs to the grant. Or you could use the grant amount. If the grant is for 5% of your agencies total funding you can charge 5% of your actual indirect charges. You can even use square footage or some other basis that can be measured. In all these cases you establish the rate based on your prior year's numbers. Then when you want to invoice the city for a period (each month) for indirect costs you take that rate and multiply it by your actual indirect costs for that period (month).

Example:

Total agency employees = 20
 Employees working on this grant = 2
 Indirect rate is $2/20$ or 10%

If your actual agency indirect costs for October are \$8,000 then you can charge 10% or \$800 of that to the contract for that period.

Method #2 – using prior year totals to establish current year rate:

Another method of computing an indirect rate (if you are charging payroll to the grant) is to take your prior year's total indirect costs and divide that by your total prior year payroll. If you had \$100,000 of indirect costs and your agency payroll was \$300,000 then you could charge 33% of your actual payroll costs of the grant as indirect costs.

Example:

Total 2011 agency indirect costs = \$80,000
 Total 2011 agency payroll costs = \$320,000
 Indirect cost rate for 2012 would be $80,000/320,000$ or 25%

If you are charging \$1,000 for actual payroll to the grant for October then you can charge 25% or \$250 to the grant as indirect for October.

If an agency wants to use a different calculation method it needs to follow Federal guidelines under OMB Circulars A-122 and A-87 and it must be approved by the City.

Following are:

Sample Indirect Cost Proposal Format for Nonprofit Organizations pp 1-7
 XYZ Company Cost Allocation Plan Guidance pp 1-7

Sample Indirect Cost Proposal Format For Nonprofit Organizations

A. INTRODUCTION

Name of Organization (nonprofit) is a nonprofit located in Anytown, USA. The nonprofit administers a variety of programs funded by Federal, State, and Local agencies. These programs include Community Service programs, Head Start programs, State Source Reduction Assistance Programs, Pollution Prevention Grants, and Environmental Policy and Innovation Grants. This example assumes a June 30 year end. Nonprofits can have different year ends and should use their year end when preparing indirect cost proposals.

B. COST ALLOCATION METHODOLOGY

This proposal is for an indirect cost rate based on the nonprofit's actual costs, for its fiscal year beginning July 1, 200X and ending June 30, 200X. The proposal is based on the nonprofit organization's audit report (Statement of Functional Expense Statement) for the year ending June 30, 200X.

This proposal addresses all elements of cost incurred by "Name of Organization" and identifies shared costs that require allocation.

The nonprofit treats all costs as direct costs except general administration and general expenses. Joint costs are prorated individually as direct costs to each category and to each award using a base most appropriate to the particular cost being prorated. Therefore, the direct allocation method has been used in allocating indirect costs.

C. DIRECT COSTS

Direct costs are costs that can be identified specifically with a project and therefore are charged to that project. The accounting system records these costs as they are incurred within the series of accounts assigned for that purpose. Further distribution is not required.

D. INDIRECT COSTS

Indirect costs are costs incurred for common or joint objectives and therefore cannot be readily and specifically identified with a particular project or activity. These costs are grouped into common pool(s) and distributed to benefiting activities by a cost allocation process.

E. COST POOL AND BASE FOR DISTRIBUTION

The nonprofit has created an Administrative Services Pool consisting of salaries, fringe benefits, and non-salary costs. The Administrative Services Pool is charged with all the indirect costs as defined above. The pool is distributed to the various program activities on the basis of direct salaries, including vacation, holiday, and sick pay but excluding other fringe benefits expended on those activities.

Volunteers are included in the direct salaries total.

The total direct salaries and wages on which this proposal is based is \$1,111,343 which includes \$99,230 of volunteer salaries and wages for the program.

Volunteers involved in any direct activity of the organization should be included in the direct salaries base assuming they meet the requirements outlined in Circular A-122.

Circular A-122 can be found at: http://www.whitehouse.gov/omb/circulars_a122_2004/
http://www.whitehouse.gov/omb/circulars_a122_2004/

F. SUPPORTING FINANCIAL STATEMENTS

The Schedule of Total Expenditures (Schedule C) contained in this proposal is assumed to agree with the nonprofit's audit report, Statement of Functional Expenses.

- Audit report, Statement of Functional Expenses: \$2,632,449
- Indirect Cost Proposal: \$2,632,449

NOTE: Nonprofit must include a complete copy of the audited financial statements with their proposal submission.

G. SALARIES

Listed below are the positions, functions, and budgeted annual salaries for the people who comprise the Administrative Services Pool. These positions are charged 100% to Administrative Services.

Position	Function	Salary
Executive Director	General Management	\$48,754
Deputy Director	General Management	\$30,664

Administrative Assistant to General Management Executive Director		\$21,566
Administrative Secretary / Personnel Officer	Clerical support to the Executive Director and Administrative Assistant responsible for personnel information	\$17,087
Finance Officer	Accounting and related activities	\$26,484
Bookkeeper	Accounting	\$20,797
Bookkeeper	Accounting	\$17,215
Bookkeeper / Payroll Clerk	Payroll accounting and general disbursements	\$16,560
Custodian	Cleaning	\$2,936
Receptionist	Switchboard / Clerical	\$14,292
	Total Administrative Services Pool Salaries:	\$216,295

H. FRINGE BENEFITS

Fringe benefits associated with the positions within the Administrative Services Pool are as follows:

**Payroll
totals:**

FICA (actual paid)	\$16,546	
State Unemployment (actual paid)	\$1,145	\$17,691
Health and Life Insurance (actual paid)		\$22,474
Retirement Plan (actual paid)		\$3,050
TOTAL		\$43,215

The nonprofits fringe benefit policies should be included with proposal submission.

J. NON-SALARY COSTS

Each category on non-salary expenditures has been analyzed based on the facts, and Schedule B shows the allocation between the Direct and Administrative Services Pool. Total non-salary direct costs excluding indirect cost reimbursements are \$984,656, of which direct is \$861,966 and indirect is \$122,690.

J. COMPUTATION OF BASE AND POOL COSTS

Schedule A (attached) shows the computation of the indirect cost rate for the year ending June 30, 200X. A summary of the rate calculation follows:

Direct Costs (Base - Salaries and Wages):

Environmental Policy and Information Grants	\$140,831
Pollution Prevention Grant	\$950,615
Source Reduction Assistance	\$18,305
Outreach	\$1,592
Total Direct Salaries	\$1,111,343

Indirect Costs (Pool):

Administrative Services Salaries	\$216,295
Administrative Services Fringe Benefits	\$43,215
Administrative Services Non-salary Costs	\$122,690
Total Administrative Services	\$382,200

K. RATE

Adjusted indirect costs (above - pool):	\$382,200	
	<hr/>	34.4%
Total direct salaries (above - base):	\$1,111,343	

L. FUNDING OF RATE

When the above rate is applied to the direct salaries paid from Enviro Institute (Environmental Policy and Information Grant) and funds from the State Department of Public Works (Pollution Prevention Grant), the eligible reimbursement is \$374,365 ($\$140,831 + \$950,615 \times 34.4\% = \$374,365$). However, the allowable budgeted funding for indirect costs was significantly less than the eligible reimbursement. The Department of Energy programs and other local funds will have to absorb their fair share of the difference, within their funding limitations. The nonprofit can apply to outside sources to absorb any difference in indirect costs paid by other programs.

SCHEDULE A

Functional Groupings

Direct Costs (Base - Salaries and Wages):	Total Salaries	
Environmental Policy and Information Grants		\$140,831
Pollution Prevention Grant		
Salaries	\$851,385	
Volunteers	\$99,230	\$950,615
Source Reduction Assistance		\$18,305
Outreach		\$1,592
Total Direct Salaries:		<u>\$1,111,343</u>
Indirect Costs (Pool):		
Labor Costs		\$259,510
Non-Labor Costs		\$122,690
Adjusted Administrative Services Pool:		<u>\$382,200</u>
Rate:		
Adjusted indirect costs (above - pool):	\$382,200	
Total direct salaries (above - base):	<u>\$1,111,343</u>	34.4%

SCHEDULE B

Elements of Cost	Methodology of Allocation
Contractual Services	Actual usage
Depreciation / Use Allowance	Indirect cost.
Emergency assistance payments	Direct cost.
Equipment rental and maintenance	Rental and maintenance on equipment used in central office finance office.
Equipment / Capital	Purchasing of office furniture for use in performing administrative services.
Equipment / Minor	Actual usage
Food costs	Direct cost.
Insurance	Actual usage.
Occupancy	Central office repairs and utilities on basis of square footage used for administrative services.
Office supplies	Office and janitorial supplies for administrative and program services.
Other expenses	Based on administrative services actual use.
Elements of Cost	Methodology of Allocation
Postage	Actual usage.
Professional fees	Accounting and audit services, payroll processing services, charged on work performed for administrative services.
Program supplies	Programs are charged to project as costs are incurred. Costs are direct costs.
Printing	Actual usage.
Renovations and Improvements	Direct cost.
Telephone	Basic services allocated on number of instruments, toll calls charged on basis of logs of such calls for administrative services.

Travel

**Basic services allocated on number of
instruments, toll calls charged on basis of
logs of such calls for administrative services.**

**The methodologies used in this example are not recommended methodologies. They are used for
purpose of example only. Allocation of costs should be accomplished on a cost benefit basis. This cost
benefit can be different from one nonprofit to the next.**

XYZ COMPANY

Cost Allocation Plan Guidance

Use the following model Cost Allocation Plan (CAP) as guidance for Non-profit organizations. The CAP should be tailored to fit the specific policies of each organization. If your organization's policies are different in any of the categories, please specifically identify the methodology used. Although there are different methodologies available for allocating costs, the methodology used should result in an equitable distribution of costs to programs. Recipients must have a system in place to equitably charge costs. Additionally, as required by Office of Management and Budget Circular A-122, time distribution records must reflect an after-the-fact determination of the actual activity of each employee. Considerations in determining an appropriate base for allocating costs include the relative benefits received, the materiality of the cost, and the amount of time and cost to perform the allocation.

Cost principles for non-profit organizations that accept federal funds are provided in the federal Office of Management and Budget (OMB) Circular A-122. Cost principles for governmental entities (not including universities) that accept federal funds are provided in OMB Circular A-87. To read the circulars, go to www.whitehouse.gov/omb/circulars.

Cost allocation is based on the premise that each federally funded grant should bear only its appropriate portion of costs. The OMB Circulars establish principles and standards for determining allowable activities and costs for federal awards carried out through grants and cost reimbursements. For example, if an agency has an Emergency Solutions Grant (ESG) and a Tenant Based Rental Assistance (TBRA) grant and a case worker uses the phone to assist clients from both programs, a percent of the phone bill must be billed to ESG and a percent to TBRA, i.e. cost are allocated to both programs.

If after reading this guidance you have questions, please talk with your agencies accountant or contact your MSHDA Homeless Assistance Specialist.

COST ALLOCATION PLAN INDEX

Purpose/General Statements..... 3

General Approach..... 3

Allocation of Costs..... 42

Allocation Methodology..... 6

XYZ COMPANY COST ALLOCATION PLAN GUIDANCE

Purpose/General Statements

The purpose of this cost allocation plan is to summarize, in writing, the methods and procedures that this organization will use to allocate costs to various programs, grants, contracts and agreements.

OMB Circular A-122, "Cost Principles for Non-Profit Organizations," establishes the principles for determining costs of grants, contracts and other agreements with the Federal Government. *XYZ Organization's* Cost Allocation Plan is based on the Direct Allocation method described in OMB Circular A-122. The Direct Allocation method treats all costs as direct costs except general administration and general expenses.

Direct costs are those that can be identified specifically with a particular final cost objective. Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective.

Only costs that are allowable, in accordance with the cost principles, will be allocated to benefiting programs by *XYZ Organization*.

General Approach

The general approach of *XYZ Organization* in allocating costs to particular grants and contracts is as follows:

- A. All allowable direct costs are charged directly to programs, grants, activity, etc.
- B. Allowable direct costs that can be identified to more than one program are prorated individually as direct costs using a base most appropriate to the particular cost being prorated.
- C. All other allowable general and administrative costs (costs that benefit all programs and cannot be identified to a specific program) are allocated to programs, grants, etc. using a base that results in an equitable distribution.

ALLOCATION OF COSTS

The following information summarizes the procedures that will be used by *XYZ Organization* beginning *Month/Day/Year*:

- A. **Compensation for Personal Services** - Documented with timesheets showing time distribution for all employees and allocated based on time spent on each program or grant. Salaries and wages are charged directly to the program for which work has been done. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's salaries to the total of such salaries (see Example 1). Costs that benefit all programs will be allocated based on the ratio of each program's salaries to total salaries (see example 2).
1. Fringe benefits (FICA, UC, and Worker's Compensation) are allocated in the same manner as salaries and wages. Health insurance, dental insurance, life & disability and other fringe benefits are also allocated in the same manner as salaries and wages.
 2. Vacation, holiday, and sick pay are allocated in the same manner as salaries and wages.
- B. **Travel Costs** - Allocated based on purpose of travel. All travel costs (local and out-of-town) are charged directly to the program for which the travel was incurred. Travel costs that benefit more than one program will be allocated to those programs based on the ratio of each program's salaries to the total of such salaries (see Example 1). Travel costs that benefit all programs will be allocated based on the ratio of each program's salaries to total salaries (see Example 2).
- C. **Professional Services Costs** (such as consultants, accounting and auditing services) - Allocated to the program benefiting from the service. All professional service costs are charged directly to the program for which the service was incurred. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's expenses to the total of such expenses (see Example 3). Costs that benefit all programs will be allocated based on the ratio of each program's expenses to total expenses (see Example 4).
- D. **Office Expense and Supplies** (including office supplies and postage) - Allocated based on usage. Expenses used for a specific program will be charged directly to that program. Postage expenses are charged directly to programs to the extent possible. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's expenses to the total of such expenses (see Example 3). Costs that benefit all programs will be allocated based on the ratio of each program's expenses to total expenses (see Example 4).
- E. **Equipment** - *XYZ Organization* depreciates equipment when the initial acquisition cost exceeds \$x,xxx. Items below \$x,xxx are reflected in the supplies category and expensed in the current year. Unless allowed by the awarding agency, equipment purchases are recovered through depreciation. Depreciation costs for allowable

equipment used solely by one program are charged directly to the program using the equipment. If more than one program uses the equipment, then an allocation of the depreciation costs will be based on the ratio of each program's expenses to the total of such expenses (see example 3). Costs that benefit all programs will be allocated based on the ratio of each program's expenses to total expenses (see example 4).

- F. **Printing (including supplies, maintenance and repair)** - Expenses are charged directly to programs that benefit from the service. Expenses that benefit more than one program are allocated based the ratio of the costs to total expenses. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's expenses to the total of such expenses (see example 3). Costs that benefit all programs will be allocated based on the ratio of each program's expenses to total expenses (see example 4).
- G. **Insurance** - Insurance needed for a particular program is charged directly to the program requiring the coverage. Other insurance coverage that benefits all programs is allocated based on the ratio of each program's expenses to total expenses (see example 4).
- H. **Telephone/Communications** - Long distance and local calls are charged to programs if readily identifiable. Other telephone or communications expenses that benefit more than one program will be allocated to those programs based on the ratio of each program's expenses to the total of such expenses (see example 3). Costs that benefit all programs will be allocated based on the ratio of each program's expenses to total expenses (see example 4).
- I. **Facilities Expenses** - Allocated based upon usable square footage. The ratio of total square footage used by all personnel to total square footage is calculated. Facilities costs related to general and administrative activities are allocated to program based on the ratio of program square footage to total square footage (see example 5).
- J. **Training/Conferences/Seminars** - Allocated to the program benefiting from the training, conferences or seminars. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's salaries to the total of such salaries (see Example 1). Costs that benefit all programs will be allocated based on the ratio of each program's salaries to total salaries (see Example 2).
- K. **Other Costs (including dues, licenses, fees, etc.)** - Other joint costs will be allocated on a basis determined to be appropriate to the particular costs. *(Grantees should describe methodology for applicable costs).*
- L. **Unallowable Costs** - Costs that are unallowable in accordance with OMB Circular A-122, including alcoholic beverages, bad debts, advertising (other than help-wanted ads), contributions, entertainment, fines and penalties. Lobbying and fundraising costs are unallowable, however, are treated as direct costs and allocated their share of general and administrative expenses.

Examples of Allocation Methodology

Example 1

Expense Amount = \$5,000

Costs that benefit two or more specific programs, but not all programs, are allocated to those programs based on the ratio of each program's personnel costs (salaries & applicable benefits) to the total of such personnel costs, as follows:

Grant	Personnel Costs	%	Amount Allocated
A	\$ 20,000	20%	\$1,000
C	\$ 30,000	30%	\$1,500
E	\$ 50,000	50%	\$2,500
Total	\$100,000	100%	\$5,000

Example 2

Expense Amount = \$10,000

Costs that benefit all programs are allocated based on a ratio of each program's personnel costs (salaries & applicable benefits) to total personnel costs as follows:

Grant	Personnel Costs	%	Amount Allocated
A	\$ 20,000	13%	\$1,300
B	\$ 10,000	7%	\$ 700
C	\$ 30,000	20%	\$2,000
D	\$ 40,000	27%	\$2,700
E	\$ 50,000	33%	\$3,300
Total	\$150,000	100%	\$10,000

Example 3

Expense Amount = \$4,000

Costs that benefit two or more specific programs, but not all programs, are allocated to those programs based on the ratio of each program's expenses (direct costs other than salaries & benefits) to the total of such expenses, as follows:

Grant	Program Expenses	%	Amount Allocated
A	\$ 120,000	30%	\$1,200
C	\$ 130,000	33%	\$1,320
E	\$ 150,000	37%	\$1,480
Total	\$ 400,000	100%	\$4,000

Example 4

Expense Amount = \$8,000

Costs that benefit all programs will be allocated based on a ratio of each program's salaries to total salaries as follows:

Grant	Program Expenses	%	Amount Allocated
A	\$ 120,000	18%	\$1,440
B	\$ 110,000	17%	\$1,360
C	\$ 130,000	20%	\$1,600
D	\$ 140,000	22%	\$1,760
E	\$ 150,000	23%	\$1,840
Total	\$650,000	100%	\$8,000

Example 5

Facilities Expense Amount = \$10,000

Facilities costs are allocated based on square footage. Square footage for each program and general and administrative activity is considered in the analysis. General and administrative facilities costs are further allocated to each program based on the square footage of each grant program to the total square footage of all grant programs. The calculation is as follows:

Grant	Square Footage	%	Amount Allocated	G&A Allocated	Total Amount Allocated
A	300	30%	\$ 3,000	\$ 340	\$ 3,340
B	100	10%	\$ 1,000	\$ 110	\$ 1,110
C	200	20%	\$ 2,000	\$ 220	\$ 2,220
D	200	20%	\$ 2,000	\$ 220	\$ 2,220
E	100	10%	\$ 1,000	\$ 110	\$ 1,110
G&A	100	10%	\$ 1,000	0	0
Total	1,000	100%	\$10,000	\$1,000	\$10,000

City of Rochester
Housing Policy
Adopted March 18, 2008

The City of Rochester will engage stakeholders and foster public/private partnerships to improve neighborhoods, create healthy real estate markets, stabilize and enhance the tax base, and provide a broad array of housing options to address the needs of diverse households.

To accomplish the goals of this Housing Policy, the City shall:

1. Promote rehabilitation, redevelopment and new construction of housing through:
 - A. Maintenance, rehabilitation and/or historic preservation to enhance the well-built and diverse housing stock, which offers a variety of different products than are available throughout much of the region.
 - B. Redevelopment of residential, non-residential and mixed use structures to address market demand for currently underrepresented housing types in the existing housing inventory and/or provide for the preservation of historic structures.
 - C. Assembly of appropriate vacant land through management of the inventory of foreclosed properties, demolition of obsolete portions of the existing housing stock to reduce vacancy, and the strategic acquisition of land to create development opportunities and open space assets that enhance existing residential areas.
 - D. Development of new housing and/or the development of new housing types that address market demand. Efforts will include an emphasis on capitalizing on such unique assets as the Genesee River, Lake Ontario, and the Erie Canal; significant historical, architectural and landscape features; and economic, educational and cultural institutions.
 - E. Enhancement of existing and creation of new public and private financial products that support rehabilitation, redevelopment and new construction
 - F. Encouragement of environmentally sensitive rehabilitation, redevelopment, demolition and new construction methods.
 - G. Encouragement of housing development that supports neighborhood commercial corridors.

2. Promote home ownership through:
 - A. Helping homeowners retain their homes through the use of a variety of programs that prevent foreclosure and predatory lending.
 - B. Cultivating new homeowners through marketing, pre-and post-purchase counseling and training programs, encouraging the development of quality financial products, and developing housing types that create an inventory of housing options to address market demand.
3. Support efforts to strengthen the rental market through:
 - A. Support for owners of rental property to be successful business owners while being accountable for providing quality local management and maintaining housing quality standards.
 - B. Support for the coordination of tenant services that reduce unwanted transiency, encourage accountability, and result in longer-term tenancies.
4. Promote housing choice through:
 - A. Support for fair housing programs that offer housing opportunities to members of protected classes, low- and moderate-income households, people with disabilities, and a full range of age groups.
 - B. Working toward the de-concentration of poverty in City neighborhoods through efforts that attract more middle- and upper-income households and expand housing choices for lower-income households.
 - C. Ongoing efforts with other jurisdictions to ensure that fair shares of housing opportunities are available throughout the region for households with restricted choices.
 - D. Development of permanent supportive housing that meets the needs of populations requiring supportive services, and encouraging the fair share of such housing outside the City.
5. Support the implementation of neighborhood and asset-based planning through interdepartmental collaboration, and:
 - A. Ensuring that citizen-based planning is at the core of efforts to establish a neighborhood vision and plan, advise the City, and provide feedback on development projects.
 - B. Cost-effective use of federal and state grants in order to make dramatic improvements by identifying neighborhoods for the implementation of plans to improve housing market vitality, reduce code violations, decrease transiency, and increase assessed valuations.
 - C. Conducting data-based research and ongoing measurement and monitoring of outcomes to drive decisions on public investments.
 - D. Using market-based strategies as the foundation for all planning efforts.

Certification of Compliance with Rochester Living Wage

Agreement: _____ Program

I hereby certify that the _____ is in full compliance with the Rochester Living Wage Ordinance of Chapter 8A-18 of the Code of the City of Rochester, New York ("the Code").

The job titles and wage levels of all covered employees, as defined in the Code, are listed below:

Job Title	Wage Level (hourly or salary & hrs./wk)	Health Insurance (Y/N)

Name & Title:

Date

h:\contract\living wage

March, 2013
Request for Proposals Emergency Solutions Grants Program

Reporting Requirements: Detail

1. Client Data - HMIS Homeless Management Information System

Unless prohibited by regulations for services to Special Needs Participants (ex: victims of domestic violence), the Subrecipient will continue (or implement) Participant data entry in HMIS. HMIS is the common data base provided and required by HUD and administered by Rochester Housing Authority (RHA/HMIS). Reimbursement for services under ESG will be dependent upon completing/updating HMIS for each Participant, for each service. The Subrecipient will be responsible for completion and accuracy. This is critical to the City and County commitment to quality of service and collaboration with the CoC.

Coordinated Access and Assessment

Participant data coordination and sharing – The Subrecipient will enter into a Memorandum of Understanding with the RHA/HMIS as the basic requirement for Coordinated Access. Upon consultation with RHA/HMIS the Subrecipient will implement Participant release documentation (unless prohibited by regulations for services to Special Needs Participants ex: victims of domestic violence) for the purpose of establishing coordinated entry and easing Participants' interviews when more than one provider is enlisted for case work.

- A. **Licenses** - Unless otherwise advised by the CoC and RHA/HMIS, the Subrecipient that does not already have license(s) through other Federal funding (ex: Shelter + Care) will be responsible for purchasing licenses for each user.
- B. **Technical Assistance** will be provided by the RHA/HMIS in cooperation with the CoC. HMIS training and response to requests for Technical Assistance are continually available from the RHA/HMIS Technical Assistance staff. The Subrecipient is responsible for:

Identifying qualified data entry staff to the Technical Assistance provider. The Subrecipient will identify an HMIS Administrator –staff responsible for quality and accuracy checks, and policy and practices planning. The Subrecipient may assign HMIS data entry responsibility either to direct service staff or to staff who are specifically responsible for all HMIS data entry. The Subrecipient's designation of HMIS responsibilities will depend upon factors including availability of licenses, staff assignments and capacity.

Participating in and identifying need for Technical Assistance:

- at time of staff change
- at time of need to reassign or add license(s)
- when difficulties with entry are encountered
- when notified of system changes and
- when instructed by the City.

Entering Participant data on a timely basis, no less than once a month.

Informing the ESG administrators in the event that there are problems with the HMIS system in spite of work with the Technical Assistance provider or when Technical Assistance is not provided.

C. HMIS Entry And Accuracy

Report Card - The Subrecipient will attain an HMIS "Report Card" grade of B or better – indicating completion of all HUD Required data fields. In the event that a "Report Card" of less than B occurs, and the "Report Card" Grade is below B for 2 months, and the Subrecipient has not been active in resolving problems in completing HMIS, the City reserves the right to withhold payment. The City may withhold payment until B is reestablished. The Subrecipient is responsible for scheduling Technical Assistance and training to reestablish a "Report Card" B.

No less than once a month the Subrecipient will review HMIS data for accuracy. It is not sufficient to rely upon the RHA/HMIS Report Card report as sole indicator of accuracy.

2. Periodic Reports

On form(s) supplied, the Subrecipient will submit a periodic report. This will be submitted no less than upon submission of invoices.

3. Consolidated Annual Performance Report (CAPER)

The recipient agrees to submit all data that are necessary for monitoring program accountability and progress in accordance with HUD requirements and for completing the ESG portion of the annual CAPER. This shall be provided in a format and at the time instructed by the Authorized Agent or their designee.

4. Outcomes Review

The ESG administrators and the CoC may conduct periodic review of outcomes, or request reports on outcomes.

**March, 2013 Request for Proposals
Emergency Solutions Grant Program
Statement of Homeless Formerly Homeless Participation
Instructions and Samples**

Homeless Participation

The Subrecipient will provide for the participation of homeless or formerly homeless individuals on its policymaking entity in accordance with §576.405 Subpart E. This may include involvement on the Board of Directors or similar entity that considers and sets policy, or makes decisions, or provides advisory support to staff and Participants.

Format: The *Statement of Homeless Formerly Homeless Participation* will be submitted on the Subrecipient's letterhead.

SAMPLE STATEMENTS

Samples are edited versions of past submissions.

Notes: a) Inclusion in this selection does not imply preference.

b). The Subrecipient may choose to maintain Confidentiality/anonymity of participating homeless/formerly homeless individuals. If reference to an employee's title reveals the name(s), the Subrecipient may give general description of duties/activities.

1.

At XYZ, each client is required to develop and maintain an individual plan which includes goals and deadlines to assist in acquiring safe housing, financial support, and legal assistance, if needed. When residing in the shelter, the residents are required to participate in the daily assigned maintenance tasks. They are asked to give us feedback on a regular basis on the satisfaction of their stay and the types of services our agency should provide to better assist other Participants.

If you have any questions, please contact

2.

XYZ does have homeless or formerly homeless persons in decision making capacity on the _____ Advisory Board. The Board has no less than three members. Board meets with the XYZ Quality Management and Development staff. This is in keeping with §576.405 Subpart E.

If you have any questions, please contact

3.

A staff member XYZ who prefers to remain anonymous experienced homelessness for a period of time as a teenager. This staff person is involved in the policy and decision making process of the organization at the program level, including the ESG funded program, as well at the organization's Advisory Board committee level.

**March, 2013 Request for Proposals
Emergency Solutions Grant Program
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4.

The Board of Directors consists of thirty members and currently two are Participants. In addition, formerly homeless individuals are welcomed as Board members. While, because of confidentiality requirements, we cannot and do not identify a Participant as homeless or formerly homeless, the current Board of Directors meets the requirement of at least one current board member being in one of the two categories.

Those served are given the opportunity to express their opinions and suggestions. Specifically, it is standard procedure for Participants to fill out feedback forms on which they rate the services they received. From this and other feedback from Participants, programs and policies are established and changed.

If you have any questions, please contact

5.

At every level of the agency, opportunities for meaningful participation are offered and viewed as chances to engage, teach, mentor and support. All who participate in services *voluntarily* agree to those services. Once services begin, Participants direct and determine the issues to be addressed and in partnership with staff, establish Individualized Service Plans, on the Participant's own terms.

Participants identify and develop volunteer projects to which to give their time, effort and talents to aid, assist and help others. In the past year, Participants were active in_____, Shelter residents also participate in the daily routines of the Shelter, such as meal preparation and cleanup.

XYZ also employs its clients; they have been paid to help maintain the _____ and as Peer Outreach Workers in the Street Outreach program.

All of these efforts are in keeping with XYZ's mission, which is: _____

If you have any questions, please contact

**Rochester/Monroe County
Homeless Continuum of Care
2009 Priorities**

The Rochester/Monroe County Homeless Continuum of Care 2009 funding priorities are in ranked order as follows:

1. Increase the supply of permanent, affordable housing with support services for the chronically homeless (includes Shelter Plus Care and Housing First projects)
2. Increase the supply of permanent, affordable housing with support services for the homeless in general and targeted toward special needs populations (not in any ranked order):
 - Homeless families with children
 - Homeless with criminal and poor credit histories
 - Homeless with mental health and/or substance abuse issues and co-occurring disorders
 - Older homeless youth; pregnant/parenting older homeless youth
 - Transgender persons
 - Veterans (including female veterans) and their families
3. Maintain current inventory of HUD funded homeless housing and services at current levels (renewal projects)
4. Transitional housing for homeless special needs populations
 - i. Homeless, Re-Entry population, in particular for sex offenders
5. Support Services
 - i. Increase capacity and access to comprehensive case management services from entry into the homeless system through follow up services in unsupported permanent housing
 - ii. Employment/Job Placement services for persons with little or no employment history (including child care and transportation)
 - iii. Improve access to and capacity of permanent, supportive housing programs
 - iv. Outreach/engagement services for the chronically homeless and frequent users of the homeless system
 - v. Improvements to and coordination of discharge planning processes and protocols

- vi. Increase Homelessness Prevention services
 - vii. Community education and advocacy around issues of homelessness and housing
 - . Accessing mainstream services/systems advocacy
 - a. Cross systems approach to meeting the needs of the homeless
 - b. "Putting a Face on Homelessness," decreasing NIMBYism
 - viii. Increased funding/resources for medications, especially those with chronic diseases and MH meds
 - ix. Creation of loan funds/escrow accounts for security deposits, furniture/.household items, fix/purchase automobiles, and other wrap-around services
6. Implementation of this community's Ten Year Plan to End Homelessness, "Housing Options for All"

March, 2013 Request for Proposals
Emergency Solutions Grants Program
Detail: Liability Insurance Coverage Requirements

Community Development Block Grant (CDBG) Insurance Requirements

Upon Award, Subrecipients will receive instructions as appropriate from City or County

Example of requirements with County specifics.

1. Provide ACORD Certificate of Insurance Form:

Certificate Holder Information:

Monroe County
39 W. Main St., Room 200
Rochester, NY 14614
Attn: Community Development

2. Provide the following insurance coverage:

A. General Liability Insurance

- 1) \$1 million per occurrence
- 2) \$3 million aggregate
- 3) Name **Monroe County** as additional insured and provide an **additional insured endorsement form** showing same. **NOTE:** If the policy has a Blanket Endorsement for Additional Insured, then the supporting documents shall be forwarded for review. (All pages of the endorsement as well as policy number shall be included.)
- 4) If aggregate coverage is less than \$3 million:
 - a) Excess or umbrella coverage in the amount to provide \$3 million total
 - b) Excess/umbrella coverage must name **Monroe County** as additional insured and provide additional insured endorsement showing same.

B. Automobile Liability Insurance

- 1) \$1 million per occurrence for bodily injury and property damage
- 2) Name **Monroe County** as additional insured and provide an **additional insured endorsement form** showing same. **NOTE:** If the policy has a Blanket Endorsement for Additional Insured, then the supporting documents shall be forwarded for review. (All pages of the endorsement as well as policy number shall be included).

C. Workers Compensation Insurance (www.wcb.ny.gov) *

- 1) C-105.2 (or U-26.3)
- 2) SI-12 (or GSI 105.2)
- 3) CE-200

D. Disability Benefits Insurance (www.wcb.ny.gov) *

- 1) DB-120.1
- 2) DB-155
- 3) CE-200

*if you are not required to carry Workers' Compensation and/or Disability Insurance, you must provide the waiver from the NYS Workers' Compensation Board.