



ESG 101

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Things to Know

- **ESG Program Component/Activities**
- **Client File Requirements**
- **Requisition Process**
- **HMIS/DV Comparable Database Requirements**
- **Written Standards**
- **Coordinated Assessment/Coordinated Entry**
- **CoC Participation**
- **CAPER**
- **HUD Regulations**

The purpose of the ESG Program is to:

- Provide assistance to rapidly re-house persons who are currently homeless
- Assist in meeting the costs of operating emergency shelters
- Restrict the increase of homelessness through the provision of preventive programs and activities

The Division of Adult and Aging Services (DAAS), NC DHHS administers North Carolina's non-entitlement ESG fund. This application corresponds to federal fiscal year 2024 funds.

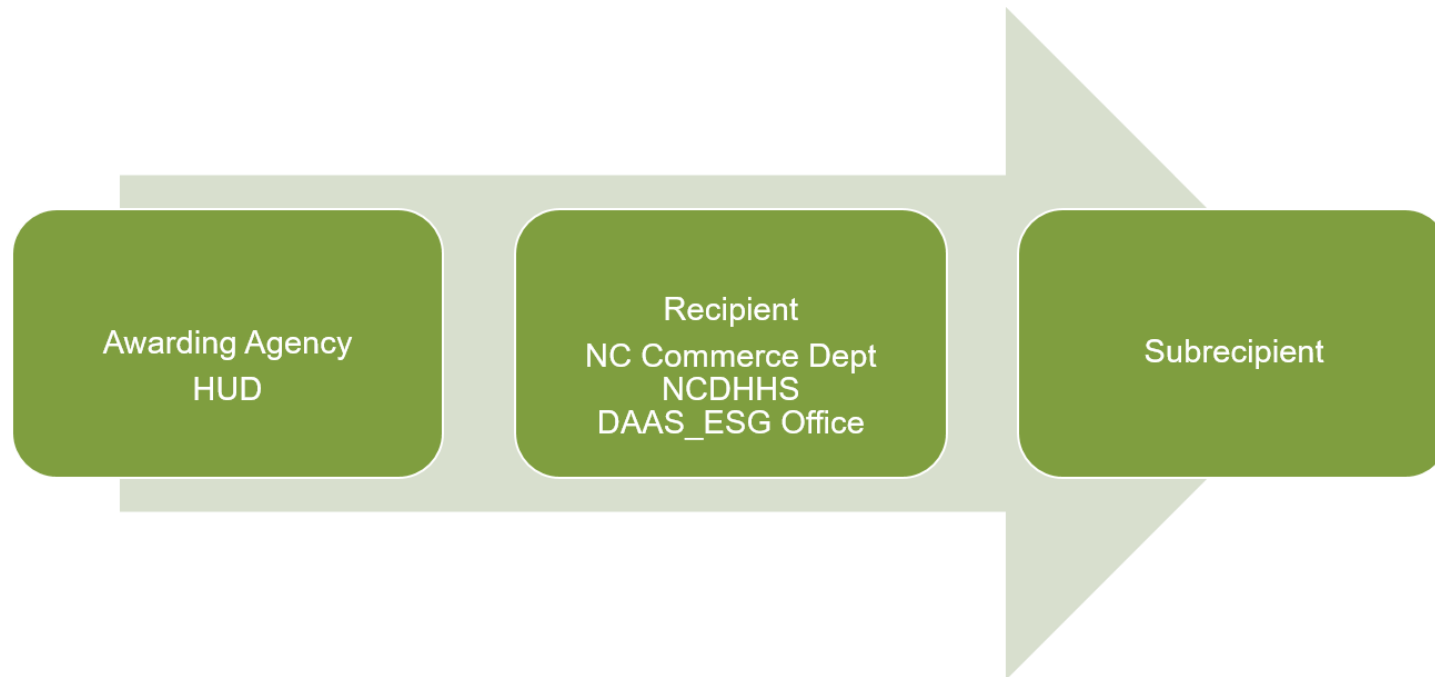
The ESG program is intended to assist people in preventing or ending their homelessness by supporting two primary functions: Emergency Response Activities, including emergency shelter operations and services as well as street outreach, and Housing Stability Activities including homelessness prevention and rapid re-housing.

North Carolina ESG Overview

- 2024 ESG Funding: \$5,327,441
- 2025 ESG Funding: ???

North Carolina ESG Overview

ESG Role as HUD Subrecipient



ESG Program Components

Agencies participating in the ESG program and/or receiving ESG funds, are eligible to perform activities under the components outlined below:

- **Street Outreach:** Meet the immediate needs of unsheltered homeless people by connecting them with emergency shelter, housing, and/or critical health services. (See Street Outreach section for eligible activities)
- **Emergency Shelter:** Intended to increase the quantity and quality of temporary emergency shelters provided to homeless people by supporting the shelters operating expenses and essential services. (See Emergency Shelter section for eligible activities)
- **Rapid Re-housing:** Move homeless people individuals and families quickly into permanent housing through rental assistance and housing relocation and stabilization services. (See Rapid Rehousing section for eligible activities)
- **Homelessness Prevention:** Prevent households from becoming homeless through rental assistance, and housing relocation and stabilization services. (See Homeless Prevention section for eligible activities)
- **NC HMIS / Domestic Violence / Victim Service Provider Comparable Database :** Support ESG Subrecipients participation in the NC HMIS / or DV comparable database collection system. Federal law requires that Domestic Violence / Victim Service Provider agencies use Systems Comparable to HMIS rather than the HMIS used by other homeless agencies

Emergency Response

Street Outreach

Services offered in to persons experiencing homelessness, living in unsheltered places (e.g. streets)



Engagement & Case Management



Transportation to shelter or service providers



Public Transit Tickets



Outpatient Emergency Health & Mental Health Services

Services must be provided in unsheltered situations

Emergency Shelter

Services offered to persons experiencing homelessness, staying in or visiting emergency shelters

ESSENTIAL SERVICES



Shelter



Case Management



Child Care Costs



Public Transit Tickets



Education Services



Employment Training



Life Skills Training



Outpatient Health & Mental Health Services
Substance Abuse Treatment Services



Legal Services to obtain & retain housing

Housing Stabilization

Rapid Re-Housing or Homelessness Prevention

Housing services offered to persons experiencing homelessness or at risk of homelessness

RENTAL ASSISTANCE

HOUSING RELOCATION & STABILIZATION SERVICES

FINANCIAL ASSISTANCE



Rental Application fees
Security Deposit
Last Month's Rent



Utility deposit & payment



Moving costs

HOUSING SERVICES



Housing Search & Placement
Housing Stability Case Management



Mediation services to keep housing
Legal services to obtain & retain housing



Credit Repair



Overview

Desk Guide

- Program Operations Manual
- Compliance Monitoring

Coordinated Entry

Written Standards

2024 DESK GUIDE

SECTION 3: PROGRAM OPERATIONS MANUAL

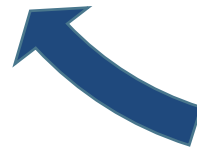
- Subrecipients are required (24 CFR 576.500) to maintain a separate ESG Program Operation Manual that details how the ESG program operates and, outlines the ESG program specific rules and policies provided to program participants.
- The operations manual is not the organization's personnel manual or employee handbook. These operations are activity specific, although there is a possibility of overlap.
- The program operations manual must include, at a minimum the ESG program requirements.
- Subrecipients should have one manual for ESG program activities, this document should not contain information on other grants, programs, or operations.
- ESG-CV Addendum

2024 DESK GUIDE

SECTION 12: COMPLIANCE MONITORING

- The NC ESG office will on-site monitor a minimum of 20% of the total ESG Subrecipients every year.
- Program compliance, HMIS / Comparable database usage, and data integrity will also be subject to regular and random monitoring by NC ESG staff.
- Subrecipients are expected to make available all participant level, financial, and program records for periodic review.
- Significant deficiencies in file content or quality will result in required Plans of Corrective Action, with possible loss of allocated funds upon discovery of continuing deficiencies.

The Never-Ending Cycle of Oversight



CoC Participation

- Both the CoC and ESG Program interim rules require coordination and collaboration between CoCs and ESG recipients in order to ensure the recipients effectively strategize about the systems of assistance needed to address homelessness and how their respective funding streams can support provision of that assistance.
- Consultation is required for both CoCs and ESG recipients in the areas of:
 - Coordinated assessment
 - Written standards for administering assistance
 - Allocation planning and reporting for ESG
 - Suggested areas for additional coordination



Coordinated Assessment

- Each CoC is required to consult with ESG recipient(s) in its geographic area to establish and operate a coordinated assessment system that provides an initial, comprehensive assessment of the needs of individuals and families for housing and services ((578.7(a)(8)).

ESG-Specific Requirements:

- Once the CoC has developed a coordinated assessment system, each ESG funded program or project within the CoC's area must use that assessment system.
- If the CoC for the jurisdiction's area has established a coordinated assessment system that meets HUD requirements, the jurisdiction must describe that coordinated assessment system in the ESG-specific section of the jurisdiction's Annual Action Plan.
(91.220(l)(4)(ii); 91.320(k)(3)(ii))

Written Standards

- The CoC must establish and follow written standards for recipients and subrecipients providing assistance with CoC Program funds.
- CoCs are required to consult with ESG recipient(s) in the CoC's geographic area to establish and consistently follow written standards for providing CoC assistance. (578.7(a)(9))
- ESG funded subrecipients must follow their CoC's written standards

CoC Written Standards and Coordinated Assessment are two separate documents.

HMIS/DV Comparable Database

- **All ESG funded subrecipients must enter data into an HMIS or DV Comparable Database**
- **All funded activities must have a project set up in a HMIS/DV Comparable Database**
- **All households billed to ESG must be entered into a HMIS/DV Comparable Database Project**
- **HMIS/DV Comparable Database must be up and running by 1/1/25**
- **Contact your local system administrator for access or more information**

CAPER

- **The NC ESG Office requires quarterly CAPER submissions to our office**
- **HUD requires an annual CAPER submission through SAGE**
- **CAPERs are run through your HMIS/DV Comparable Database**
- **All subrecipients must be able to run a CAPER by 1/1/25**



Client Files

2024 ESG Client File Forms

The 2024 client file forms are found on the NC DHHS, Aging and Adult Services website located at:

<https://www.ncdhhs.gov/divisions/aging-and-adult-services/nc-emergency-solutions-grant/nc-emergency-solutions-grant-%E2%80%93-0>

Importance of Client Files

- **Per 24 CFR 576.500**, the Subrecipient must maintain files for clients served with ESG funding to ensure that ESG funds are used in accordance with the HUD requirements and State guidance.
- Client files tell the story of the individuals your organization is assisting with ESG funds.
- Eligible Client + Eligible Unit / Activity (if applicable)
= Eligible Allowable Expenses



Best Practices

All client files:

- Must have an HMIS or DV Comparable Database Number
- Are required to be kept confidential in a safe / secure location
- Need to be separated by activity (i.e. ES Client File separate from RRH)
- Must contain the appropriate ESG checklist and should be “tabbed” and divided accordingly. The file can contain non-ESG documents however, for monitoring purposes, the ESG documents must be readily available and easily identifiable.

Deviations from the minimum required documentation standards must be approved by the NC ESG Office prior to use.

Client File Form Matrix

NC ESG FORM	1.0 - NC ESG CLIENT FILE MATRIX: FORMS REQUIRED BY ACTIVITY						
	EMERGENCY SHELTER OPERATIONS	EMERGENCY SHELTER SERVICES	STREET OUTREACH	PREVENTION SERVICES	PREVENTION FINANCIAL ASSISTANCE	RAPID REHOUSING SERVICES	RAPID REHOUSING FINANCIAL ASSISTANCE
1.1 NC ESG Emergency Shelter and Street Outreach Client File Checklist	X	X					
1.2 NC ESG Street Outreach Client File Checklist			X				
1.3 NC ESG RRH Client File Checklist						X	X
1.4 NC ESG Homeless Prevention Client File Checklist				X	X		
1.5 NC ESG Ineligible Client File Checklist							
2.0 NC ESG Verification of Homeless Status	X	X	X	X	X	X	X
3.1 NC ESG Street Outreach and Emergency Shelter Intake Form	X	X	X				
3.2 NC ESG RRH and Prevention Intake Form				X	X	X	X
3.5 NC ESG Third Party Verification of Client's Income				X	X	X	X
3.6 NC ESG Client's Self-Certification of Income				X	X	X	X
3.7 NC ESG Income Calculation Worksheet				X	X	X	X
3.8 NC ESG Housing Barriers Matrix and Initial Housing Stabilization Plan	X	X	X	X	X	X	X
3.8A NC ESG Stabilization Action Plan Monthly Update				X	X	X	X
4.0 NC ESG Rental Assistance Agreement				X	X	X	X
4.1 NC ESG Rent Reasonableness Checklist and Certification				X	X	X	X
4.2 NC ESG HUD VAWA Form 5380				X	X	X	X
4.3 NC ESG HUD VAWA Form 5381				X	X	X	X
4.4 NC ESG HUD VAWA Form 5382				X	X	X	X
4.5 NC ESG HUD VAWA Form 5383				X	X	X	X
5.0 NC ESG Housing Stabilization Minimum Habitability Standards Checklist				X	X	X	X
6.0 NC ESG Client Exit Form	X	X	X	X	X	X	X

CLIENT FILE FORMS



Requisitions

2024 ESG Requisition Documents

The 2024 requisition documents are found on the NC DHHS, Aging and Adult Services website located at:

<https://www.ncdhhs.gov/divisions/aging-and-adult-services/nc-emergency-solutions-grant/nc-emergency-solutions-grant---2>

Requisition Submissions

- Requisitions are submitted through Smartsheet. A link will be provided to you at the beginning of the program year. Only one email per Subrecipient, per month, will be accepted; exceptions may be made with prior approval from the NC ESG Office.
- **Once requisitions are processed, they cannot be recalled.**
- All questions regarding requisitions should be submitted to ncesg@dhhs.nc.gov
- Requisition submission must be received by the NC ESG Office in a timely matter. This means no later than 45 days after the last billing day of the month, for which the reimbursement is being requested.
- If approved: the requisition will be submitted for reimbursement to the State Controller office. (turnaround 30 business days)



Requisition Best Practices

- Review the entire requisition before submission
- Ensure adequate prep time for submission, allowing for resubmission of discarded requisition(s) if necessary.
- Refer to the Desk Guide for detailed information regarding requisition submissions.
- Requisition Submissions must be accurate and in order of the ESG Requisition Checklist. (Website link to ESG Requisition Checklist)
- Per HUD regulations - requisitions must be sent to the NC ESG Office monthly, even if the requisition is for \$0 and no less than 1 requisition per quarter must be greater than \$0

Requisition Matrix

FORMS & DOCUMENTATION	A - NC ESG REQUISITION CHECKLIST: ITEMS REQUIRED BY ACTIVITY								
	EMERGENCY SHELTER OPERATIONS	EMERGENCY SHELTER SERVICES	STREET OUTREACH	PREVENTION SERVICES	PREVENTION FINANCIAL ASSISTANCE	RAPID REHOUSING SERVICES	RAPID REHOUSING FINANCIAL ASSISTANCE	HMIS	ADMIN (Local Gov. & Fiscal Agents ONLY)
Billing Information									
B1 NC ESG Requisition Workbook Cover Sheet	B1	B1	B1	B1	B1	B1	B1	B1	B1
B2-B10 NC ESG Requisition Workbook Activity Sheets per Client Information	B2	B3	B4	B5	B6	B7	B8	B9	B10
C1-C4 NC ESG Client Log per Activity	C1a	C1	C2	C3	C3	C4	C4		
1.2 NC ESG Verification of Homelessness Form*		X	X			X	X		
Verification of Homelessness Documentation: letter from shelter, self-certification, discharge papers, observation statement by outreach worker*		X	X	X	X	X	X		
1.3 NC ESG Verification of At-Risk of Homelessness Form*									
At-risk of Homelessness Documentation: letter from shelter, self-certification, discharge papers, etc.*		X	X	X	X				
Lease: first page that lists Lessee and amount of rent and last page with signatures**				X	X		X		
2.1 NC ESG Verification of Income Form ***				X	X				
Proof of Income Documentation: Letter from employer, bank statement, unemployment compensation letter, Social Security benefits (to substantiate sudden loss of income)***				X	X				
Staff Information									
D1 NC ESG Time Sheet Workbook - Summary of Hours Sheet		D1	D1	D1		D1		D1	D1
D2-D6 NC ESG Time Sheet Workbook - Activity Sheet per Mileage: Submit organization mileage / travel log.		D2	D3	D4		D5		D6	
Financial Information		X	X					X	X
Eviction Notice				X	X				
Bill or Invoice	X	X	X	X	X	X	X	X	X
Copy of check and highlighted ledger (from accounting software report) - canceled checks and/bank statements will be required for monitoring	X	X	X	X	X	X	X	X	X
Pav Stub		X	X	X		X		X	X

REQUISITION FORMS

Helpful Links

- **ESG main website link:** <https://www.ncdhhs.gov/divisions/aging-and-adult-services/nc-emergency-solutions-grant/nc-emergency-solutions-grant-%E2%80%93>
- **ESG Regs:** <https://www.govinfo.gov/content/pkg/FR-2011-12-05/pdf/2011-30938.pdf>



NC ESG: Enhancing compliance, coordination, and effectiveness in meeting the needs of families and individuals experiencing homelessness.

Contact Information

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