

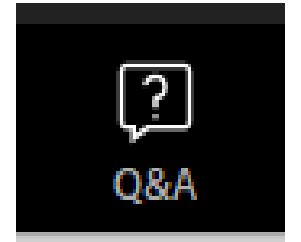
# Emergency Solutions Grants (ESG) Program Office Hours – Requests for Funds Review

June 18, 2025





# How to ask a question...



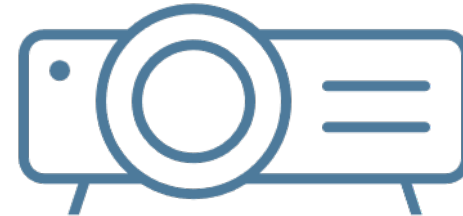
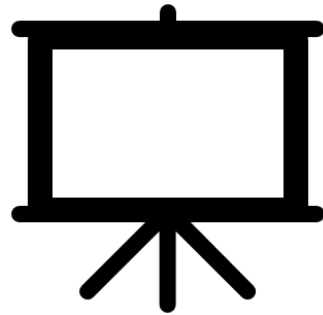
## Question Format

- ❖ All Questions must be submitted in the Question & Answer (Q&A) Box:
  - Please type your organization name and question.
- ❖ The team will read questions out loud at the end of the presentation and will also provide answers (if possible) throughout the presentation.
- ❖ All questions and answers entered into the Q&A box will be recorded as part of the public record.



# Slides and Recording

Both the slides and recording will be sent to all participants within approximately two weeks of this event.





# ESG Updates

## 2022-23 Annual Performance Reporting (APR)

❖ Workbook 1 – Part 1

***Due June 16, 2025***

❖ Workbook 2

**Due by July 15, 2025**

❖ Workbook 1 – Part 2

**Due by July 15, 2025**



# ESG - 2023 Grant Updates

## ❖ Performance Milestones Reminders:

- ❖ Expenditure deadline for 2023 contracts is August 17, 2025.
- ❖ 80% of contract must be expended by June 17, 2025.
- ❖ If already spent, reach out to your Grant Representative for a Certificate of Completion.



# ESG Updates

## 2024 ESG NOFA\*:

- ❖ Staff are reviewing funding applications
- ❖ July 2025 – Award Announcements
- ❖ Contract Exhibits are available on the ESG webpage

*\*Dates are tentative and subject to change*



# ESG Team Representatives

❖ Sam Lieu

[Sam.Lieu@hcd.ca.gov](mailto:Sam.Lieu@hcd.ca.gov)

❖ Giovanni Martinez

[Giovanni.Martinez@hcd.ca.gov](mailto:Giovanni.Martinez@hcd.ca.gov)

❖ Anthony Zepeda

[Anthony.Zepeda@hcd.ca.gov](mailto:Anthony.Zepeda@hcd.ca.gov)

Please reach out to your ESG Representative listed above or contact us at:

[\*\*ESGNOFA@hcd.ca.gov\*\*](mailto:ESGNOFA@hcd.ca.gov)



Questions?



# **ESG Office Hours – Spotlight Series**

## **Request for Funds (RFF) Review**

**ESG Program Team**

June 18, 2025





# ESG Regulations and Policies





# ESG Regulations and Policies

## ❖ Federal Costs Principles (Uniform Administrative Guidance)

### 2 CFR 200.302

- Emphasizes the importance of maintaining effective financial management systems to ensure compliance with federal requirements
- Requires grantees to identify the source and application of funds
- What you spent, why you spent it, how you spent it.



# ESG Regulations and Policies

## ❖ ESG Regulations (Interim Rule)

### 576.500 (u)

- Summarizes ESG requirements for financial record-keeping
- Retain supporting documentation for all costs charged to the ESG grant
- Documentation that demonstrates costs were eligible, allowable, reasonable, and allocable.



# ESG Regulations and Policies

## ❖ HUD Guidance and HCD Policies

### General Summary

- Eligible uses per ESG component
- Written Policies & Procedures per ESG component
- Meeting the requirements of the Standard Agreement with HCD (Expenditure Deadlines)



# Request for Funding (RFF)







DEPARTMENT OF HOUSING AND COMMUNITY DEVELOPMENT  
EMERGENCY SOLUTIONS GRANT PROGRAM  
DIVISION OF FEDERAL FINANCIAL ASSISTANCE (REV 12/2024)  
651 Bannon Street, Suite 400  
Sacramento, CA 95811  
Email: ESGNOFA@hcd.ca.gov



## EMERGENCY SOLUTIONS GRANT PROGRAM REQUEST FOR FUNDS FORM

Draw Request # :	1	HCD Representative:	Your Rep Name Here
Contract # :	23-ESG-XXXXX	Expiration Date:	10/17/2025
Reporting Period:	1/1/2025 - 2/15/2025	Contact Person:	Best Person to Answer Questions
Grantee Name:	Your Grantee Name	Contact Person Title:	Best Person's Title
Address:	Your Address	E-mail:	Best Person's Email
City:	Your City	Phone No.:	Best Person's Phone Number
State & Zip:	Your State and Zip		

### ESG EXPENDITURES BREAKDOWN

BUDGET BREAKDOWN			REQUEST THIS PERIOD	YEAR TO DATE BREAKDOWN		
Budget Component	Approved Budget	Previously Drawn	Draw Amount	Total Drawn	Percent Drawn	Budget Remaining
Emergency Shelter *	\$500,000	\$0	\$100,000	\$100,000	20%	\$400,000
ES Indirect Costs*	\$50,000	\$0	\$1,000	\$1,000	2%	\$49,000
Street Outreach	\$0	\$0	\$0	\$0	0%	\$0
SO Indirect Costs	\$0	\$0	\$0	\$0	0%	\$0
Homelessness Prevention	\$0	\$0	\$0	\$0	0%	\$0
HP Indirect Costs	\$0	\$0	\$0	\$0	0%	\$0
Rapid Re-Housing	\$0	\$0	\$0	\$0	0%	\$0
RR Indirect Costs	\$0	\$0	\$0	\$0	0%	\$0
HMIS	\$0	\$0	\$0	\$0	0%	\$0
HMIS Indirect Costs	\$0	\$0	\$0	\$0	0%	\$0
Administration	\$0	\$0	\$0	\$0	0%	\$0
Admin Indirect Costs	\$0	\$0	\$0	\$0	0%	\$0
TOTAL:	\$550,000	\$0	\$101,000	\$101,000	18%	\$449,000



## CERTIFICATIONS

1) "I certify to the best of my knowledge and belief that the information provided herein is true, complete, and accurate. I am aware that the provision of false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative consequences including, but not limited to violations of U.S. Code Title 18, Sections 2, 1001, 1343 and Title 31, Sections 3729-3730 and 3801-3812."

☒ Yes ☐ No

2) "I certify to the best of my knowledge and belief that none of the funds made available for a Federal financial assistance program for infrastructure may be obligated for a project unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States." (Build America, Buy America Act, P.L. 117-58, Secs 70911 - 70917)." \*

☒ Yes ☐ No ☐ N/A

3) If an environmental review is required, has it been completed?

☐ Yes ☐ No ☒ N/A

4) With this Request for Funds, were any funds used to acquire equipment valued in excess of \$5,000? If yes, fill out the tab labeled "Equipment" in this Excel form.

☐ Yes ☒ No ☐ N/A

Authorized Representative Name

Title of Authorized Representative

Name of Authorized Person

Title:

*Anthony Zepeda*

Date of RFF

Signature of Authorized Person

Date:

### HCD USE ONLY

Grant Management Representative Signature

Date:





## ESG DETAILED EXPENSE REPORT (DER)

### Emergency Shelter Component

Draw #:	Contract #:
1	23-ESG-18005

Reporting Period:		
6/1/2024	-	9/30/2024

Abbreviation Key	
SC= Staff Costs	Non SC= Non Staff Costs

1	2	3	4	5	6	7	8	9
Budget Component	Activity	Vendor	Period (Pay/Billing Periods)	Line Item (Description of Expense and Period Covered)	Check Number / Journal Entry	Check Date/ Journal Entry Date	Check Total (Gross)	ESG Amount Requested
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/1/2024	Shelter Food: Local Food Company	86125	7/1/2024	\$14,675	\$10,883
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Local Food Company	86157	7/11/2024	\$8,348	\$766
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Walmart	14456589	7/18/2024	\$12	\$12
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Local Grocery Store	253589	7/9/2024	\$35	\$35
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Local Grocery Store	4213541	7/18/2024	\$2,255	\$1,332
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Walmart	125468	7/6/2024	\$27	\$27
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 6/28/2024 To: 7/31/2024	Shelter Food: Little Caesars	3565235	6/28/2024	\$116	\$116
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Little Caesars	85231132	7/5/2024	\$116	\$116
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 6/28/2024 To: 7/31/2024	Shelter Food: Little Caesars	1123548	7/12/2024	\$116	\$116
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Little Caesars	54123851	7/19/2024	\$116	\$116
Emergency Shelter	Non-SC: Shelter Operations	Shelter Name	From: 7/1/2024 To: 7/31/2024	Shelter Food: Little Caesars	58454551	7/22/2024	\$116	\$116



# RFFs & DERs: Best Practices

- ❖ Correct Reporting Period
- ❖ HCD Representative Name
- ❖ Eligible Activity
- ❖ Detailed Line-Item Description
- ❖ Reach out to your representative or NOFA inbox if you need assistance



# Back-Up Documentation Requirements





# ESG – Request for Funding Review

## ❖ Request For Funding Requirements

### ❖ First RFF:

- Full Back-up Documentation Required for all Detailed Expense Report (DER) Line Items
- RRH & HP must have approved Policies & Procedures
- Redact all Personally Identifying Information (PII)



# ESG – Request for Funding Review

## ❖ Request For Funding (RFF) Requirements

### ❖ Second (and subsequent) RFFs:

- Supporting documentation for two line-items per component
- Grantee to select the line-items to document\*
- Include full client files for RRH and HP
- Redact all Personally Identifying Information (PII)

*\*HCD reserves the right to request additional documentation (as applicable)*



# Supporting Documentation – RRH

## ❖ Complete Client Files

- ❖ Rental/Lease Agreements (signed, dated)
- ❖ Copies of Rental Payments / Invoices
- ❖ VAWA Addendum
- ❖ Lead Based Paint Notice
- ❖ Rent Reasonableness Certification / FMR Certification



# RFF Supporting Documentation

## Street Outreach

- ❖ Receipts (Small Purchases)
- ❖ Timesheets, Payroll Documents, Pay Stubs

## Emergency Shelter

- ❖ Supplies (Receipts)
- ❖ Timesheets, Payroll Documents, Pay Stubs
- ❖ Insurance (Invoice, Payment)





Eligibility		
<b>Required Documentation for <u>all</u> ESG participants regardless of assistance provided.</b>		<b>In File      Date</b>
<p><b>Verification of homeless status for Rapid Re-housing</b></p> <p><b>For <u>literally homeless</u> ("Category 1") clients entering the RRH project,</b> a completed homeless verification should come from the Coordinated Entry System through HMIS when a client is referred to the project. Staff should review for eligibility and compliance.</p> <p>Preferred Order for Literally Homeless Documentation (Category 1):</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Third Party Certification Written (including already available documents such as HMIS record) or Oral (case manager to write out oral statement, sign, and date), OR</li> <li><input type="checkbox"/> Staff Observations (must be written, signed, and dated by relevant staff), OR</li> <li><input type="checkbox"/> Self-Certification (must be written and dated).</li> </ul> <p>Further Information: <a href="#">At a Glance: Criteria and Recordkeeping Requirements for Definition of Homeless, CA HCD Homelessness Eligibility and Documentation Policy, CA HCD Rapid Rehousing Manual, Sec. III(B); CPD Notice 2021-08, Sec. I.B.1(b)</a> (clarifying that the 24 CFR 576.2 Homeless definition applies, except the time limitation is lengthened in paragraph 1(iii) for people previously homeless exiting an institution. They are still considered literally homeless if they resided in the institution for 120 days or less.)</p> <p><b>For <u>clients fleeing domestic violence</u> ("Category 4") entering the RRH project,</b> clients are only eligible under Category 4 if they are residing in a place described in Category 1 (Literally Homeless).</p> <p>Victim Service Provider Intake:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Oral statement that confirms they are fleeing, have no subsequent residence, and they lack resources. Documented by self-certification or intake worker certification.</li> </ul> <p>Non-Victim Service Provider Intake:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Oral statement which confirms they are fleeing. Documented by self-certification or intake worker (seek third-party verification only so long as doing so does not jeopardize the client's safety); AND</li> <li><input type="checkbox"/> Certification that no subsequent residence has been identified; AND</li> <li><input type="checkbox"/> Self-Certification, or other written documentation, that household lacks financial resources and support networks to obtain other permanent housing.</li> </ul> <p>Further Information: Resources listed above and <a href="#">24 CFR §576.2 (under Homeless definition, paragraph (4))</a></p>		





<p>*Visual assessment is required for pre-1978 housing where children under age 6 or pregnant women reside, unless the housing meets one of five exemptions listed on the worksheet. The visual assessment must be completed prior to ESG assistance being provided.</p> <p>Further Information: <a href="#">HUD Lead Based Paint Trainings</a>, CA HCD <a href="#">ESG California Lead Base Paint Assessment - Worksheet</a></p>		
<p><b><i>If the participant received rental and/or financial assistance, the following is required.</i></b></p>		
<p><b>Residential Lease Agreement</b> between participant and landlord (or allowable and legal sublease agreement)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Signed by participant and landlord (or relevant parties for sublease, but contact landlord for confirmation)</li> <li><input type="checkbox"/> Dated</li> <li><input type="checkbox"/> Addresses late payment requirements</li> </ul> <p>Types of rental assistance:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Tenant Based Rental Assistance: No minimum lease and rental assistance agreement requirement.</li> <li><input type="checkbox"/> Project Based Rental Assistance: Lease and rental assistance agreement must have an initial term of one year.</li> </ul> <p>HUD Resource: <a href="#">Requirements for Rental Assistance Agreements and Leases Under ESG (PDF)</a></p>		
<p><b>Payments</b> made on behalf of the participant.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Proof of rental assistance payments made to owners made on behalf of participant(s)</li> <li><input type="checkbox"/> Dates/term payments covered</li> <li><input type="checkbox"/> Dates of occupancy by program participants</li> <li><input type="checkbox"/> Other supporting documentation (leases, rental assistance agreements)</li> </ul> <p><a href="#">24 CFR §576.500(h)</a> requires documentation of payments made to owners for the provision of rental assistance and supporting documentation for these payments, including dates of occupancy by program participants</p>		
<p><b><i>If the participant received <u>rental assistance</u>, the following are required.</i></b></p>	<p><b>In File</b></p>	<p><b>Date</b></p>
<p><b>Rental Assistance Agreement</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Signed and dated by landlord and agency</li> <li><input type="checkbox"/> Consistency with lease: same payment due date, grace period, and late payment requirements</li> <li><input type="checkbox"/> Amounts: agreement clarifies amount to be paid by program participant and amount to be paid by program</li> <li><input type="checkbox"/> Executed <u>before</u> rental assistance payments made to owner</li> </ul>		



Further Information: <a href="#">Requirements for Rental Assistance Agreements and Leases Under ESG (PDF)</a> , 24 CFR §§576.106 and 24 CFR §§576.500(h)		
<b>Fair Market Rent and Rent Reasonableness Certification</b> <input type="checkbox"/> <a href="#">Fair Market Rent and Rent Reasonableness Certification Form</a>  File must document fair market rent and rent reasonableness, including dates of comparisons.  Further Information: <a href="#">CA HCD Fair Market Rent and Rent Reasonableness Policy</a>		
<b>VAWA Documentation</b> <input type="checkbox"/> <a href="#">VAWA Lease Amendment</a> must be an addendum to the residential lease agreement. <input type="checkbox"/> <a href="#">VAWA Notice of Occupancy Rights (HUD 5380)</a> <input type="checkbox"/> <a href="#">VAWA Victim Certification Form (HUD 5382)</a> <input type="checkbox"/> <a href="#">VAWA Emergency Transfer Request (HUD 5383)</a> (if applicable)  Further Information: HUD Resource: <a href="#">Requirements for Rental Assistance Agreements and Leases Under ESG (PDF)</a> , HCD Resource: <a href="#">VAWA Compliance Policy</a>		
<b>Financial Assistance</b>		
<input type="checkbox"/> Financial Assistance Tracking  Ensure documentation in file shows the type(s) and amount(s) of financial assistance provided, to whom it was provided, and sufficient detail to describe the service costs the assistance covered, including: <ul style="list-style-type: none"> <li>• Moving and/or relocation costs</li> <li>• Exact language from lease/rental assistance agreement and related documentation, including (as applicable) info on rental housing application fees, security deposits, and last month's rent.</li> <li>• Utility account information, including name of account holder/proof of responsibility info, utility type(s), service dates, and arrears and current payment amounts.</li> </ul> <a href="#">24 CFR §576.105(a)</a> requires eligible Financial Assistance costs to be paid directly to a housing owner, utility company, or other third party (i.e., not directly to the program participant)		



# RFF Supporting Documentation Tips





# Supporting Documentation: Best Practices

- ❖ Client Files identified by HMIS number
- ❖ Headers or Title Pages for Multiple Files
- ❖ Highlight the DER Line Items that correspond to Supporting Documentation (Second and subsequent RFFs)
- ❖ Make it simple to review
- ❖ Tell the story



# Administration Backup Documentation



# Emergency Shelter Backup Documentation



# Rapid Rehousing Backup Documentation



# ESG – RFFs & DERs Resources

- ❖ [esg-request-for-funds-rff-and-sample-request-for-funds-2023.xlsm](#)
- ❖ [esg-detailed-expense-report-2023.xlsm](#)
- ❖ [ESG-Eligible-Expense-Guide.pdf](#)
- ❖ [esg-client-file-checklist-rapid-rehousing.pdf](#)
- ❖ [esg-client-file-checklist-emergency-shelter.pdf](#)





Questions?



# ESG Resources

## ❖ ESG Webpage:

[Emergency Solutions Grants Program \(ESG\) | California Department of Housing and Community Development](#)

## ❖ ESG Program Team Contact:

[ESGNOFA@hcd.ca.gov](mailto:ESGNOFA@hcd.ca.gov)



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