

CITIZEN EMPOWERMENT TEAM

FISCAL YEAR 2015  
(FY2010 Sunset Funds)

EMERGENCY SHELTER  
SUNSET FUNDS  
PROJECT GRANT

REQUEST  
FOR  
PROPOSAL



OKLAHOMA DEPARTMENT OF COMMERCE  
COMMUNITY DEVELOPMENT  
900 North Stiles Oklahoma City, OK 73104  
[www.okcommerce.gov](http://www.okcommerce.gov) (405) 815-6552

## Table of Contents

Introduction .....	3
Timetable.....	3
Request for Proposal .....	4
Sunset Funds Project Design.....	4
Eligible Applicants .....	4-5
Eligible Activities .....	5-6
Release of Funds .....	6
Budget .....	6
Matching Funds .....	6
Reporting .....	6
Payments .....	6
Obligated.....	7
Certifications .....	7
Performance.....	7
Submission Requirements .....	7
Emergency Shelter Grant Checklist .....	8
HUD Programs Subject to the Disclosure Requirements .....	21-22
Definitions .....	23-25

## **FORMS**

### **Forms to be completed in OK Grants**

Application Summary (SF-424).....	OK Grants Form
Section I - II: Applicant Information and Narrative Exhibits.....	9
Budget Detail.....	OK Grants Form
Budget Narrative.....	OK Grants Form
Match/Additional Funds Certification Form .....	OK Grants Form
Audit .....	OK Grants Form

### **Forms to be Uploaded into OK Grants**

Local Government Certification.....	10
Private Non-Profit Certification .....	11
Local Approval for Project .....	12
State Certifications .....	13-17
Applicant Assurances .....	13
Program Certifications .....	14
Drug-Free Workplace .....	15-16
Anti-Lobbying Certification .....	17
Certification of Consistency with Consolidated Plan .....	18
Release of Funds .....	19
Applicant/Recipient Disclosure/Update Report .....	20

## **Emergency Shelter Sunset Funds Project Grant**

### **Introduction**

The State of Oklahoma has funds left from the Fiscal Year 2010 Emergency Shelter Grant. These funds are from several years of smaller amounts caught in the First-In-First-Out (FIFO) accounting principle practiced in the IDIS system. The following request details our plan to spend the above mentioned funds in a reasonable time period to provide and improve services to be provided by community homeless assistance programs to serve the homeless citizens of Oklahoma.

### **Proposed Timetable**

The Oklahoma Department of Commerce will make available to Non-Profit organizations all Emergency Shelter Grant Program funds within 15 days of the date the State receives its grant award notice from the U.S. Department of Housing and Urban Development (HUD).

Date	Description
October 1, 2015	Application Webinar
October 2 - 6, 2015	Applications entered into OK Grants
October 7, 2015	ODOC Staff reads applications for compliance and sends award notification
October 7, 2015	ESG Contract Start Date
November 30, 2015	ESG 2015 contract end date. All funds must be expended by this date.
December 30, 2015	ESG 2015 Closeout Documentation and Annual Report Due to ODOC.

## **Emergency Shelter Sunset Funds Project Grant Request for Proposal**

### **Background**

The Emergency Shelter Grants Program was originally established by the Homeless Housing Act of 1986, in response to the growing issue of homelessness among men, women, and children in the United States. In 1987, the ESG Program was incorporated into subtitle B of title IV of the Stewart B. McKinney-Vento Homeless Assistance Act (42 U.S.C. 11371-11378). The Emergency Shelter Grant Program is the first step in a continuum of homeless assistance operated by HUD. Since its inception and incorporation into the McKinney-Vento Act, the ESG Program has helped States and localities provide facilities and services to meet the needs of homeless people.

### **Purpose**

Strategies outlined by the Governor's Interagency Council on Homelessness' (GICH) 10-year Plan adopted by the Oklahoma Department of Commerce/ Community Development (ODOC/CD) continues to advance and energize the state's efforts to identify and combat the issues that result in homelessness. To that end ODOC/CD continues to lead the efforts for the preparation of the Consolidated Plan, devoted to the organization of federal resources to identify, strategize and implement effective ways to relieve the burden of low-income and in many cases homeless individuals and families. The Emergency Shelter Grant (ESG) Program is a component of the state's efforts to alleviate homelessness in Oklahoma. When used in conjunction with other local resources the ESG program provides a foundation for homeless people to begin moving toward independence.

### **Emergency Shelter Defined**

The Emergency Shelter Grant Program is the only source of HUD funding devoted to the maintenance and operation of emergency shelters. An emergency shelter is defined as "any facility, whose primary purpose is to provide temporary or short-term transitional shelter for the homeless in general or for specific populations of the homeless." 24 CFR, Part 576.

### **Sunset Funds Project Design Distribution and Administration of Funds**

Available ESG funds can be used to provide shelter services and operations to address the needs of homeless persons living on the street or in an emergency shelter. Funds requested can address the immediate needs of the homeless, and can help enable homeless persons become more independent and to secure permanent housing.

### **Eligible Applicants**

A preliminary request for projects was sent to the top two (totaling 12 projects) scoring subrecipients from each Rural CoC asking for project ideas that could be completed in the proposed timeframe. Out of the responses, listed below are the agencies and their approved projects:

Continuum of Care	Agency	Proposed Project
Cleveland	Food and Shelter, Inc.	Repairs to Shelter Roof
Cleveland	Thunderbird Clubhouse	Repairs to Emergency Shelter floor, replace stove in emergency shelter unit,
Balance of State	Northwestern DV Crisis	Playground and backyard improvements for the

	Services	children served at the DV shelter
Balance of State	Youth and Family Services of Canadian County	Repair stove in shelter kitchen, replace 2 dish washers, install surge protector on a/c units, pay shelter utility bills for approved time period
North Central	Wing of Hope, Inc.	Transportation, Food and replacement of kitchen microwaves and other kitchen supplies for shelter kitchen.
North Central	Northern Oklahoma Youth Services	Operation costs, outside sitting area for family visits, new bedding and furniture for bedrooms
Northeast	Northeast CAA (The Ark)	Transportation and Food to last until next contract begins
Northeast	Northeast CAA (The Harbor)	Shelter maintenance and utilities; and/or purchase of vehicle to pick up donations, food, supplies for the shelter, etc.
Southeastern	KI BOIS CAF, Inc. (DV)	Furniture and computer replacement for shelter
Southeastern	INCA CAA, Inc.	Food essentials for clients; bags/back packs to send food with clients
Southwestern	Marie Detty YFS(DV)	Fencing around DV client parking lot for security,
Southwestern	Great Plains CAF, C. Carter Crain Homeless Shelter	Repair of venthood system; replacement of ice maker, local bus tickets for public transportation to and from work searches or work sites; food essentials

An ODOC Request for Proposal asking for details surrounding the projects mentioned above will be issued to the eligible subrecipients. ODOC staff will evaluate and verify that the requested projects are reasonable according to the ESG regulations. Award letters will be sent prior notifying subrecipients that funds have been obligated for their proposed projects.

Documentation will be required in the RFP showing proof of capacity. ODOC will then enter into contractual agreements with the approved subrecipients to carry out the financial and programmatic requirements according to law. The contract will outline the funding source, funding year, amount of funding, terms, and conditions.

ESG funds can cover a broad array of emergency shelter costs. The legislation and regulations specify various eligible operating costs related to the provision of emergency services.

If there are still remaining funds after the above projects are completed eligible activities could also include additional shelter maintenance, repairs, security, equipment, insurance, food, and furnishings.

### **Eligible Activities**

To ensure the effective and timely use of Sunset Project grant funds on eligible activities, the Request for Proposal will require answers for the following requirements as outlined in the SUNSET Project funds guidance:

- Eligibility requirements
- Eligible activities
- Reporting requirements
- Application Instructions
- Evaluation criteria
- Project duration
- Program guidelines

- Applicable regulations (by reference only)
- Identification of target audience and any target sub populations for described programs;
- Application forms, including
- Certifications/ Assurances
- Specification for completing narrative format
- Guidelines for preparing the budget
- Required information about the organization (administrative, financial, and program management, and board governance)

### **Monitoring**

Each subrecipient will be required to submit source documentation to support cost of project along with their expense and payment request reports instead of a monitoring. ODOC will follow all monitoring standards as outlined in its approved Consolidated Plan, ODOC policies and SUNSET Project funds requirements.

To ensure compliance, the monitor will:

- Evaluate all program performance and compliance reports;
- Review all expense and data reports and make sure the data falls into allowable budgetary and program requirements; and
- Compile program performance information for the timely response to program inquiries and fulfillment of the SUNSET reporting requirements

### **Program Implementation**

If funds are awarded the applicant will be required to complete and submit reports by due date and comply with ESG program requirements as outlined in the Implementation Manual.

### **Release of Funds**

Subrecipients must submit and receive authority to use grants funds prior to expending grant funds. Funds will not be released until all required documentation has been received. Funds expended prior to the authority to use grant funds will not be reimbursed.

### **Budget**

Each recipient must complete a project budget and budget narrative form. Project budget should list the amount of ESG funds to be expended in each separate category and the project narrative should provide a description detailing the anticipated expenditures by category.

### **Matching Funds**

Since these remaining funds are from previous awards, match has already been met in those previous years of funding. Therefore no match will be required for this project.

### **Reporting**

Effective August 30, 2004, HUD provided notice of the Homeless Management Information System (HMIS) data and technical standards. The final Notice followed the publication of a draft Notice on July 22, 2003 in which HUD expressed intent to make participation mandatory for all recipients of McKinney-Vento Homeless funding. Note that HMIS expenses are allowable in the ESG budget. Shelters receiving ESG funds will be expected to provide monthly progress reporting based on data collected through HMIS

### **Payments**

ODOC shall disburse funds to the units of general local government/CAA upon receipt and approval by ODOC of the Request for Release of Funds.

### **Obligated**

The Oklahoma Department of Commerce/Community Development (ODOC/CD) considers funds obligated when the sponsor shelter agreement is signed by the unit of general local government or the Community Action Agency (CAA). In the case where the shelter is owned by the CAA, funds are obligated when a summary of the financial and programmatic responsibilities the CAA/shelter will assume is in writing and signed. Funds may not be expended until ODOC/CD receives an Environmental Review (if applicable), Sponsor Shelter Agreement or summary and a Request for Release of Funds. Upon receipt of these documents, ODOC will return to the unit of general local government or CAA a signed Authority to Use Grant Funds.

### **Certifications**

Other federal requirements will be handled by certifications in the grant application. Units of general local government must submit certifications ODOC-1, ODOC-2, and ODOC 5. Community Action Agencies must submit certifications ODOC-1, ODOC-3, ODOC-4, and ODOC-5. Please read these certifications carefully and remember that the applicant is either a unit of general local government or CAA; therefore, the shelter is not authorized to sign these certifications.

### **Performance**

The State reserves the right to recapture Emergency Shelter Grant funds under the following circumstances:

- Failure to obligate and spend within the time periods specified Title 24 part 576.35.
- Failure, without approved modification, to implement the project as set forth in the approved ESG grant application.
- Failure to meet the specified performance measures.

## **Program Application Guidelines**

### **Submission Requirements**

All grant applications must be submitted electronically through the new ODOC OKGrants.gov. Here is the link to the grant site and registration instructions:

<https://grants.ok.gov/>

In the instance of a unit of general local government or CAA applying on behalf of more than one shelter, separate applications must be submitted for each shelter. Applicants may present multiple funding category requests in a single application. When this occurs, answer the application questions associated with the highest funding category level for which funding is requested and list all funding categories the applicant is applying for under the appropriate application questions. **Only one application per shelter will be accepted.**

**Emergency Shelter Sunset funds Project Grant Checklist  
(Form Online in OK Grants)**

To be considered for ESG funds, an application must contain the items detailed below:

**OK Grant Forms**

- Application Summary (Form 424)
- All required responses for Project Narrative Exhibits
- Budget Detail
- Budget Summary (Save Only)
- Budget Narrative
- Match / Additional Funds Certification Form (Not Applicable for this project)
- Audit

**Upload to Uploads Page (Provide most current copy of forms listed below)**

- Program Certifications and Assurances which includes:
  - o Section I. Applicant Assurances
  - o Section II. Program Certifications (formerly ODOC 6)
  - o Section III. Drug-Free Workplace (formerly ODOC 7)
  - o Section IV. Anti-Lobbying Certification (formerly ODOC 8)
- Request for Release of Funds and Certification
- Applicant/Recipient Disclosure/Update Report
- Certification of Consistency with Consolidated Plan HUD 2991
- Continuum of Care Agreement for HMIS Data Entry
- Continuum of Care Lead Agency Participation letter
  
- Required forms for Units of General Local Government
  - o Local Government Certification
- Or-**
- Required forms for Community Action Agency (CAA) or Independent Nonprofit
  - o Private Non-Profit Certification
  - o Certification of Local Government Approval for Nonprofit Organizations
  
- In the case of a Community Action Agency, a signed letter must be submitted by the Unit of Local Government assuring that they will perform the environmental review.

## **Project Narrative Exhibit Questions**

### **SECTION I: COMMUNITY NEED(S)**

I-1 Describe who will be benefitting from the proposed project. Include how many additional clients will be served through the completion of proposed project or the additional services that will be provided to current clients.

### **SECTION II: Proposed Use of Funds (Programmatic)**

II-1 Describe the proposed project.

**Local Government Certification**

**Emergency Solutions Grant (ESG) Program  
To be submitted by the Units of General Local Government Applicants**

I, \_\_\_\_\_, Chief Elected Official of \_\_\_\_\_, certify that the units of general local government will comply with the following:

1. The requirements of 24 CFR Sec. 576.53 and the January 9, 1989, Federal Register Notice of Fund Availability; Amended Program Requirements, concerning the continued use of buildings for which Emergency Solutions Grants are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services, concerning the population to be served.
2. The building standards requirement of 24 CFR Sec. 576.55.
3. The requirements of 24 CFR Sec. 576.56, concerning assistance to the homeless.
4. The requirements of 24 CFR Sec. 576.57, other appropriate provisions of 24 CFR Part 576, and other applicable Federal laws concerning nondiscrimination and equal opportunity.

I further certify that the units of general local government will comply with the provisions of, and regulations and procedures applicable under, section 104(g) of the Housing and Community Development Act of 1974 with respect to the environmental review responsibilities under the National Environmental Policy Act of 1969 and related authorities as specified in 24 CFR Part 58.

I further certify that the units of general local government and the shelter(s) conducting activities, funded in whole or in part with McKinney Act funds, to assist the homeless population in this jurisdiction, will administer, in good faith, a policy designed to ensure that the assisted homeless facility is free from the illegal use, possession, or distribution of drugs or alcohol by its beneficiaries.

I further certify that the submission of an application for an emergency solutions grant is authorized under state and/or local law and that the local government possesses legal authority to carry out emergency solutions grant activities in accordance with applicable law and regulations of the Department of Housing and Urban Development.

\_\_\_\_\_  
Name of Chief Elected Official and Title

\_\_\_\_\_  
Signature of Chief Elected Official

\_\_\_\_\_  
Date

**Private Non-Profit Certification**

**Emergency Solutions Grant (ESG) Program  
To be submitted by the Community Action Agency (CAA) or Independent  
Nonprofit**

I, \_\_\_\_\_,  
Executive Director of \_\_\_\_\_, certify that the  
Community Action Agency (CAA) / Nonprofit will comply with the following:

1. The requirements of 24 CFR Sec. 576.53 and the January 9, 1989, Federal Register Notice of Fund Availability; Amended Program Requirements, concerning the continued use of buildings for which Emergency Solutions Grants are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services, concerning the population to be served.
2. The building standards requirement of 24 CFR Sec. 576.55.
3. The requirements of 24 CFR Sec. 576.56, concerning assistance to the homeless.
4. The requirements of 24 CFR Sec. 576.57, other appropriate provisions of 24 CFR Part 576, and other applicable Federal laws concerning nondiscrimination and equal opportunity.

I further certify that the CAA/ Nonprofit and the shelter(s) conducting activities, funded in whole or in part with McKinney-Vento Act funds, to assist the homeless population in this jurisdiction, will administer, in good faith, a policy designed to ensure that the assisted homeless facility is free from the illegal use, possession, or distribution of drugs or alcohol by its beneficiaries.

I further certify that the submission of an application for an Emergency Solutions Grant is authorized under state and/or local law and that the CAA/ Nonprofit possesses legal authority to carry out Emergency Solutions Grant activities in accordance with applicable law and regulations of the U.S. Department of Housing and Urban Development.

\_\_\_\_\_  
Name of Executive Director

\_\_\_\_\_  
Signature of Executive Director

\_\_\_\_\_  
Date

**Certification of Local Government Approval For Nonprofit Organizations**

**Emergency Solutions Grant  
To be prepared by Units of General Local Government**

I, \_\_\_\_\_, (name of local government official and title) duly authorized to act on behalf of the \_\_\_\_\_  
\_\_\_\_\_ (name of jurisdiction) hereby approve the following emergency shelter activities proposed by \_\_\_\_\_  
\_\_\_\_\_ (name of CAA/Nonprofit) which is (are) to be located in \_\_\_\_\_  
\_\_\_\_\_ (name of jurisdiction).

\_\_\_\_\_  
Name of Chief Elected Official and Title

\_\_\_\_\_  
Signature of the Chief Elected Official

\_\_\_\_\_  
Date

**Program Certifications and Assurances  
Emergency Solutions Grant (ESG) Program  
To be submitted by all Applicants**

**Section I. Applicant Assurances**

I, \_\_\_\_\_ (Name of Elected Official / Executive Director), \_\_\_\_\_ (title) certify that if awarded FY 2015 Emergency Solutions Grant funding \_\_\_\_\_ (Name of local unit of government, Community Action Agency or Nonprofit) does assure the following:

1. Homeless individuals and families will be given assistance in obtaining:

Appropriate case management, obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living); and other Federal, State, local, and private assistance available for such individuals.

2. Homeless individuals will be provided the opportunity for participation on the policymaking entity in accordance with 42 U.S.C. 11375 (d).

3. Homeless individuals and families will be involved in providing work or services pertaining to facilities or activities assisted under this part, in accordance with 42 U.S.C. 11375 (c) (7).

**Section II. Program Certifications**

**Consolidated Plan** – The 2010 HUD-approved Consolidated Plan.

**Consistency with Plan** – Housing activities to be undertaken with ESG funds are consistent with the strategic plan.

**Confidentiality** – Grant recipients must develop and implement procedures to ensure:

- (1) The confidentiality of records pertaining to any individual provided with assistance; and
- (2) That the address or location of any assisted housing will not be made public, except to the extent that this prohibition contradicts a preexisting privacy policy of the grantee.

**Discharge Policy** – Grant recipients must agree to develop and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons.

**Affirmatively Further Fair Housing** -- The local government or nonprofit will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction or state, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

**Homeless Persons Involvement** – To the maximum extent practicable, the subrecipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted by ESG.

**HMIS** – HUD’s standards for participation in a local Homeless Management Information System and the collection and reporting of client-level information. (Domestic Violence Shelters exempt as stated in “VAWA Protections”)

---

ITIALS of Authorized Elected Official / Executive Director

ite

### **Section III. Certification for Drug-Free Workplace**

**Drug-Free Workplace** --It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee’s workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about:
  - a. The dangers of drug abuse in the workplace;
  - b. The grantee’s policy of maintaining a drug-free workplace;
  - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will –
  - a. (a) Abide by the terms of the statement; and
  - b. (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted –
  - a. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, state, or local health, law enforcement, or other appropriate agency;
7. Make a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Additional Instructions for Drug-Free Workplace Certification

- 1 By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
- 2 The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- 3 Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- 4 Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
- 5 If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
- 6 The Grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

---



---

Place of Performance (Street address, city, county, state, zip code)

Check \_\_\_ if there are workplaces on file that are not identified here.

The certification with regard to the drug-free workplace is required by 24 CFR part 24, subpart F.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of sub recipients or subcontractors in covered workplaces).

**Section IV. Anti-Lobbying Certification**

**Anti-Lobbying** --To the best of the local government's or nonprofit's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraphs 1 and 2 of this certification be included in the award documents for all subawards at all funding categories (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Additional Instructions for Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

---

ITIALS of Authorized Elected Official / Executive Director

ite

---

Date

**Certification of Consistency  
With the Consolidated Plan**

**U.S. Department of Housing  
and Urban Development**

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.

(Type or clearly print the following information :)

**Applicant Name:** \_\_\_\_\_

**Project Name:** \_\_\_\_\_

**Location  
of the Project:** \_\_\_\_\_

**Name of the Federal  
Program to which the  
applicant is applying:** \_\_\_\_\_

**Name of Certifying  
Jurisdiction:** \_\_\_\_\_

**Certifying Official of the  
Jurisdiction Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Form  
HUD-2991**

**Oklahoma Department of Commerce  
Office of Community Development  
Emergency Solutions Grant Program  
REQUEST FOR RELEASE OF FUNDS AND CERTIFICATION**

Contractor Name:		Contract Number	
Address:		Date of Request	
Project Description (Brief):			
REQUIREMENTS	DOCUMENTATION	Items Included	State Use Only
Environmental Review	A. Categorically Excluded/Exempt Activity - Form 702-B & Sample 702-4 are attached. B. Categorically Excluded Activity - Form 702-B & Form		
a. Nonprofit	702-D, Sample 702-6 are attached.		
b. Other Than Nonprofits	A. Categorically Excluded/Exempt Activity - I hereby state Form 702-B has been completed and Sample 702-4 is attached. B. Categorically Excluded Activity - I hereby state Form 702-B has been completed and Form 702-D, Sample 702-7 are attached.		
c. If project is located in the Floodplain	Proof of Floodplain and Wetland Publication - Sample 702-3 is attached.		
d. Activities that make physical changes to buildings or sites	Property has been cleared by the Historic Preservation Office and Correspondence is attached.		
OTHER	Contract Conditions, listed in Part II of ODOC contract. Copy of signed agreement with Shelter, if applicable.		
<b>Signature of Authorized Official:</b> _____ <b>Name &amp; Title of Authorized Official:</b> _____ <b>Date:</b> _____			

(Please review pages 39 - 40 before filling out this report)

**Applicant/Recipient  
Disclosure/Update Report**

U.S. Department of Housing  
and Urban Development

OMB Approval No 2510-0011

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

**Applicant/Recipient Information**                      **Indicate whether this is an Initial Report**  **or an update report**

1. Applicant/Recipient Name, Address, and Phone (include area code):	2. Social Security Number or Employer ID Number:
3. HUD Program Name	4. Amount of HUD Assistance Requested /Received
5. State the name and location (street address, City and State) of the project or activity:	

**Part I Threshold Determinations**

- |   |   |
|---|---|
| <p>1. Are you applying for assistance for a specific project or activity?<br/>These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).</p> <p><input type="checkbox"/> Yes      <input type="checkbox"/> No</p> | <p>2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during the fiscal year (Oct.1-Sep.30)? For further information</p> <p><input type="checkbox"/> Yes      <input type="checkbox"/> No</p> |
|---|---|

If you answered, "No" to either question 1 or 2, Stop! You do not need to complete the remainder of this form. **However**, you must sign the certification at the end of the report.

**Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.**

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds
<b>(Note: Use additional pages as necessary.)</b>			

**Part III Interested Parties.** You must disclose:

- All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity, and
- any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)
<b>(Note: Use Additional pages if necessary.)</b>			

**Certification**

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.  
I certify that this information is true and complete.

Signature: \_\_\_\_\_ Date: (mm/dd/yyyy)

X

### **HUD Programs Subject to the Disclosure Requirements**

Following is a list of all the HUD Programs that are subject to the disclosure requirements of Subpart C of 24 CFR Part 12. All applicants for Emergency Shelter Grant assistance must review this list to determine if they are receiving, or expect to receive, assistance from other covered programs. Applicants must consider HUD funds that are received either directly from HUD or through the State.

It is the total amount of funds received from all the below sources that the applicant uses to answer the second question of Part II of the Disclosure Report.

Section 312 Rehabilitation Loans under 24 CFR Part 510, except loans for single-family properties.

Applications for grant amounts for a specific project or activity under the Rental Rehabilitation Grant Program under 24 CFR Part 511 made to:

A State grantee under Subpart F;

A unit of general local government or consortium of units of general local government or a consortium of units of general local government receiving funds from a State or directly from HUD whether or not by formula under Subparts D, F, and G; and

HUD, for technical assistance under § 511.3.

(Excludes formula distributions to States, units of general local government, or consortia of units of general local government under Subparts D and G, within-year reallocations under Subpart D, and the HUD-administered Small Cities Program under Subpart F.)

Applications for grant amounts for a specific project or activity under Title I of the Housing and Community Development Act of 1974 made to:

HUD, for a Special Purpose Grant under Section 105 of the Department of Housing and Urban Development Reform Act of 1989 for technical assistance, the Work Study Program or Historically Black colleges;

HUD, for a loan guarantee under 24 CFR Part 470, Subpart M;

HUD, for a grant to an Indian tribe under Title I of the Housing and Community Development Act of 1974;

HUD, for a grant under the HUD-administered Small Cities Program under CFR Part 570, Subpart F; and

A State or unit of general local government under 24 CFR Part 570.

Applications for grant amounts for a specific project or activity under the Emergency Shelter Grant Program under 24 CFR Part 576 made to a State or to a unit of general local government, including a Territory.

(Excludes formula distributions to States and units of general local government [including Territories]; reallocations to States, units of general local government [including Territories] and non-profit organizations; and applications to an entity other than HUD or a State or unit of general local government.)

Transitional Housing under 24 CFR Part 577.

Permanent Housing for Handicapped Homeless Persons under 24 CFR Part 578.

Section 8 Housing Assistance Payments (only project-based housing under the Existing Housing and Moderate Rehabilitation programs under 24 CFR Part 882, including the Moderate Rehabilitation Program for Single Room Occupancy Dwellings for the Homeless under Subpart H).

Section 8 Housing Assistance Payments for Housing for the Elderly or Handicapped under 24 CFR Part 885.

Loans for Housing for the Elderly or Handicapped under Section 202 of the Housing Act of 1959 (including operating assistance for Housing for the Handicapped under Section 162 of the Housing and Community Development Act of 1987 and Seed Money Loans under Section 106(b) of the Housing and Urban Development Act of 1968).

Section 8 Housing Assistance Payments - Special Allocations - under 24 CFR Part 886.

Flexible Subsidy under 24 CFR Part 219 - both Operating Assistance under Subpart B and Capital Improvement Loans under Subpart C.

Low-Rent Housing Opportunities under 24 CFR Part 904.

Indian Housing under 24 CFR Part 905.

Public Housing Development under 24 CFR Part 941.

Comprehensive Improvement Assistance under 24 CFR Part 968.

Resident Management under 24 CFR Part 964, Subpart C.

Neighborhood Development Demonstration under Section 123 of the Housing and Urban-Rural Recovery Act of 1983.

Nehemiah Grants under 24 CFR Part 280.

Research and Technology Grants under Title V of the Housing and Urban Development Act of 1970.

Congregate Services under the Congregate Housing Services Act of 1978.

Counseling under Section 106 of the Housing and Urban Development Act of 1968.

Fair Housing Initiatives under 24 CFR Part 125.

Public Housing Drug Elimination Grants under Section 5129 of the Anti-Drug Abuse Act of 1988.

Fair Housing Assistance under 24 CFR Part 111.

Public Housing Early Childhood Development Grants under Section 222 of the Housing and Urban-Rural Recovery Act of 1983.

Mortgage Insurance under 24 CFR Subtitle B, Chapter II (only multi-family and non-residential).

Supplemental Assistance for Facilities to Assist the Homeless under 24 CFR Part 579.

Shelter Plus Care Assistance under Section 837 of the Cranston-Gonzalez National Affordable Housing Act.

Planning and Implementation Grants for HOPE for Public and Indian Housing Homeownership under Title IV, Subtitle A, of the Cranston-Gonzalez National Affordable Housing act.

Planning and Implementation Grants for HOPE for Homeownership of Multi-family Units under Title IV, Subtitle B, of the Cranston-Gonzalez National Affordable Housing act.

HOPE for Elderly Independence Demonstration under Section 804 of the Cranston-Gonzalez National Affordable Housing Act.

## **Emergency Shelter Sunset Funds Project Grant Request for Proposal - Definitions**

For the purposes of this Request for Proposal, the following definitions will be used:

Administration: Units of General Local Government and/or Community Action Agencies are allowed 2.5% of the total award for administration of the ESG grant. These funds may be passed on to the shelter.

Continuum of Care: HUD Definition of the Continuum of Care: "The Continuum of Care is a community plan to organize and deliver housing and services to meet the specific needs of people who are homeless as they move to stable housing and maximum self-sufficiency. It includes action steps to end homelessness and prevent a return to homelessness."

Co-Occurring Disorder: Persons who have a diagnosis of mental illness and a diagnosis of substance abuse, HIV/AIDS, or other health condition.

Eligible Applicants: Units of General Local Government and Community Action Agencies (CAAs). Cities of Tulsa and Oklahoma City must apply directly to HUD and are therefore excluded from the receipt of funds administered by ODOC.

Emergency Shelter: Any facility whose primary purpose is to provide temporary shelter for the homeless in general, or for specific populations of homeless. Treatment Centers whose primary purpose is to provide rehabilitation/treatment for substance abuse to the homeless are not considered Emergency Shelters; therefore, are not eligible to apply as an emergency shelter. All applicants must have an emergency shelter component available to homeless individuals.

Equipment and Furnishings: Typically large, one-time expenditures essential for the continued operation of the homeless shelter. Office equipment and major furniture replacement or purchase such as beds or cots for an expanding facility, are examples of items to be budgeted under Equipment and Furnishings.

Essential Services: Includes services provided at the shelter concerned with employment, health, substance abuse, and education, and may include, but not be limited to: (a) assistance in obtaining transitional and permanent housing; (b) medical and psychological counseling and supervision; (c) employment counseling; (d) nutritional counseling; (e) substance abuse treatment and counseling; (f) assistance in obtaining other federal, state, and local assistance; (g) other services such as child care, transportation, job placement and training; and (h) staff salaries necessary to provide the above services. Do not include food in essential services. Food costs are to be budgeted under Operations where no maximum percentage is applied.

Homeless: An individual or family which lacks a fixed, regular, and adequate night-time residence; or an individual or family which has a primary night-time residence that is: (a) a supervised publicly or a privately operated shelter designed to provide temporary living accommodations; (b) an institution that provides a temporary residence for individuals intended to be institutionalized; or (c) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

Income Eligibility: A homeless individual shall be eligible for assistance under any program provided by the Stewart B. McKinney Homeless Assistance Act, or by the amendments made by this Act, only if the individual complies with the income eligibility requirements otherwise applicable to such program.

Exclusion: For purposes of this Act, the term “homeless” or “homeless individual” does not include any individual imprisoned or otherwise detained pursuant to an Act of the Congress or State Law.

Homeless Prevention: Activities or programs designed to prevent the incidence of homelessness including, but not limited to: (a) short-term subsidies to defray rent and utility arrearages for families that have received eviction or utility termination notices; (b) security deposits or first month’s rent to permit a homeless family to move into transitional or permanent housing; (c) mediation programs for landlord-tenant disputes; (d) legal services programs for the representation of indigent tenants in eviction proceedings; (e) payments to prevent foreclosure on a home; and (f) other innovative programs and activities designed to prevent the incidence of homelessness.

HUD: U.S. Department of Housing and Urban Development.

Match Funds: Funds contributed to the project for the expressed purpose of implementing the eligible activities proposed in the application. Eligible match includes cash on deposit, and cash committed from other sources, as documented by bank statements, and funding award letters. Non-cash match shall be documented by timesheets, appraisals, or other sufficient documentation. Match funds must be expended during the time frame of the ESG contract.

Major Rehabilitation: Rehabilitation that involves costs in excess of 75 percent of the value of the building before rehabilitation. Major rehabilitation undertaken with ESG funds must meet local government safety and sanitation standards under 24 CFR 576.55. In addition, for projects of 15 or more units where rehabilitation costs are 75 percent or more of the replacement cost of the building, that project must meet the requirements of 24 CFR 8.23(a). The facility must be used as an emergency shelter for a period of not less than ten years after the ESG contract is closed or the applicant may be required to repay grant funds.

Nonprofit Recipient: Any nonprofit organization assisting the homeless to which a Unit of General Local Government or CAA distributes ESG funds.

Obligated: The ESG contractor, as appropriate, has placed orders, awarded contracts, received services, or entered similar transactions that require payment from the grant amount.

Operations: Recurring costs incurred by a recipient operating a homeless shelter with respect to administration, rent, food for feeding the homeless, security, maintenance, utilities, fuels, and insurance for the homeless shelter.

Private Nonprofit: Any organization recognized as a Community Action Agency by ODOC. (see attached listing).

Rehabilitation: Labor, materials, tools, and other costs of improving the building, including repair directed toward an accumulation of deferred maintenance; replacement of principal fixtures and components of existing buildings; installation of security devices; and improvements through alterations or incidental additions to or enhancement of, existing buildings including improvements to increase the efficient use of energy. Rehabilitation includes the conversion of a

building to an emergency shelter where the costs of conversion and any rehabilitation do not exceed 75 percent of the cost of the building before rehabilitation, and includes structural changes necessary to make a facility accessible to persons with physical handicaps. The facility must be used as an emergency shelter for a period of not less than three years after the ESG contract is closed or the applicant may be required to repay grant funds.

Transitional Housing: Facility-based or scattered-site temporary housing combined with essential services, with occupancy typically limited to 24 months. The applicant would administer the transitional housing activities and establish eligibility for occupants. Transitional housing also functions to do the following:

- Assist homeless families and individuals overcome the problems/conditions that made them homeless;
- Increase skills and/or income and aid in obtaining and remaining in permanent housing; and
- Provide or coordinate, as required, substance abuse services, mental health services, day care, life skills training, educational services, family support, and other services.

Transitional Housing, as compared to a general shelter, implies a greater level of responsibility in that residents typically maintain their own home or apartment without 24-hour supervision, while at the same time receiving essential services from the administrators of the facility, or from a contracted service provider. These services function to teach each resident the necessary skills in order for them to move to permanent housing and independent living. Individual rehabilitation plans are also emphasized over a group treatment approach.

Unit of General Local Government: Any incorporated city, county, or town in Oklahoma.

Value of building: Value of building is defined as the monetary value assigned to a building by an independent real estate appraiser or as otherwise reasonably established. If the value of the building is established other than by an appraisal, ODOC must be advised and provided with written documentation of the method for determining the value.

The value of the building can only be used as match if the building is donated after the ESG contract is entered into with ODOC. If the shelter is purchasing or renting the facility, only the mortgage or lease amount paid with non-ESG funds multiplied by 12 months (the term of the ESG contract) can be used as match.

Please refer to Federal Register, Title 24, Volume 3, revised April 1, 1998 for further clarification and for other related definitions.